THE TRANSFORMATIONAL LEADERSHIP PRACTICES OF A COLLEGE PRESIDENT:

A CASE STUDY OF DR. JAMES L. DOTI

by

Adejoke Katherine Kassim

Liberty University

A Dissertation Presented in Partial Fulfillment

Of the Requirements for the Degree

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ABSTRACT

The purpose of this single instrumental case study was to explore the transformational leadership

practices of Dr. James L. Doti, the president emeritus of Chapman University, Orange County,

California. The theory that guided this study was the transformational leadership theory by

James McGregor Burns and Bernard M. Bass. The central question for the study was, "How did

Dr. Doti lead the transformation of Chapman University between 1991–2016?" This study

investigated the president's demonstration of the four components of transformational leadership

as identified by Bass: Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and

Individual Consideration. The setting was at Chapman University, Orange County, California.

The participants included Dr. Doti, board members, senior administrative staff, administrative

staff, faculty, and the community of donors, who were part of the transformation of Chapman

University during Dr. Doti's 25-year tenure. Data collection was via interviews, document

analysis, and observation of archival videos. Open coding of verbatim transcriptions and

triangulation of all sources of data were used to develop themes. Three themes were generated

from the data analysis: (a) Dr. Doti's Compelling Vision, (b) Dr. Doti's Personal Charisma, and

(c) Dr. Doti's Financial Acumen. Dr. Doti personified transformational leadership. He became

the president of Chapman College at a critical time in its history. Dr. Doti cast a new compelling

vision for the school which he articulated through a series of five, five-year strategic plans.

Aided by his winsome personality, active fundraising, and wise financial management, Dr. Doti

led the transformation of Chapman from a sleepy liberal arts college in southern California to a

mid-sized university of national stature.

Keywords: college presidents, higher education institutions, leadership practices,

leadership team, transformation, transformational leadership

Dedication

This dissertation is dedicated to Mark B. Kassim, my husband and best friend of 29 years. Thank you for all you sacrificed for me to complete this work. Thank you for being the sounding board for my ideas, for helping me format all the figures and charts, and for keeping me company in the basement while I typed all night. Thank you for believing in me and for covering me with your prayers. I love you, honey; you are the best!

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Many thanks to Dr. Fred Milacci; I consider you to be an integral part of my dissertation journey because you taught me qualitative analysis and encouraged me in every way to go forward with this case study. To Dr. Katherine Todd, thank you for editing the work and for your encouragement and prayers.

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List of Abbreviations

American Council on Education (ACE)

Central Question (CQ)

Contingent reward (CR)

Multifactor Leadership Questionnaire (MLQ)

Sub-Question (SQ)

Transactional Leadership (TL)

Transformational Leadership (TSL)

CHAPTER ONE: INTRODUCTION

Overview

This single instrumental case study explores the transformational leadership practices of Dr. James L. Doti, president emeritus of Chapman University, Orange County, California. Higher education institutions have become more important than earlier times, due to the essential role they now play in the nation (Bok, 2015). This is because the national success and survival is strategically linked to the quantity as well as quality of the education of the citizenry (Johnson & Broad, 2017; Razik & Swanson, 2010; Zimpher, 2012). However, the 21st century higher education institution leaders are confronted by a myriad of challenges such as globalization, technological advancements, dwindling funds from government, intense scrutiny from the stakeholders, and demands for accountability from tax payers (American Council on Education [ACE], 2017; Basham, 2012a, 2012b; Bok, 2015; McCaffery, 2010). Burns (1978) described transformational leaders as those who cause change in systems and individuals. There is an urgent need for transformational college presidents (Basham, 2012a, 2012b; Mattar, 2016; Sun, Chen, & Zhang, 2017) who can successfully lead institutions of higher education in their mission to produce the educated citizenry necessary for the nation to compete globally (Cook, 2012).

This chapter contains the background for this study and a brief review of the current literature on the challenges of leading the 21st century higher education institutions (ACE, 2017; Bok, 2015; Bourgeois, 2016). A brief introduction of Dr. Doti, the focus of inquiry in the case study, is presented, followed by the author's motivation as well as the problem and purpose of the study. The empirical, theoretical, and practical significance of the study are explicated. Research questions are provided in alignment with the components of the transformational leadership theory as proposed by Bass (1985). The chapter concludes with a list of relevant

definitions.

Background

Leadership in higher institutions of education in the 21st century has become more challenging and complex as the needs of colleges and universities have evolved. Higher education leaders are having to do more with less, even as student enrollment continues to escalate amidst a fast-paced environment of technological advancement, online schooling, sky-rocketing tuition rates, and greater accountability from stakeholders (ACE, 2017; Alexander, 2000; Bok, 2015; Bourgeois, 2016; Glassner & Schapiro, 2013; McCaffery, 2010; Mitchell, Leachman & Masterson, 2016; Pierce, 2015). The most pertinent issue confronting the 21st century college president is a shortage of resources due to reduced funding from state and federal governments (Adams & Mangieri, 1990; Bok, 2015; Bourgeois, 2016; Cook, 1994; Glassner & Schapiro, 2013; Lederman, 2018; McCaffery, 2010; Mitchell et al., 2016; Pierce, 2015). The current circumstances in the 21st century higher education institutions call for transformational leaders who can successfully ride the prevailing winds of change to bring their institutions to a safe harbor (Basham, 2012a, 2012b; Bourgeois, 2016).

Burns (1978) attributed the success of distinguished national, social, and moral leaders to their ability to transcend the customary norms of traditional or transactional leadership. In transactional leadership, the purpose of the follower is to carry out the wishes of the leader. In contrast, Burns (1978) proposed the concept of transformational leadership. He described transformational leaders as those who transform followers into leaders, and leaders into agents of change. Bass (1985) further developed the Burns' (1978) model of transformational leadership theory for organizations. The theory has since been embraced in educational settings to study the

effective transformational leadership practices of educational leaders (Leithwood, 1994;
Leithwood & Jantz, 2000; Leithwood & Sun, 2012).

However, most of the quantitative research on transformational leadership has focused on
K–12 principals. Transformational leadership was found to have positive effects on various
school outcomes (Allen, Grigsby, & Peters, 2015; Anderson, 2017; Aydin, Sarier, & Uysal,
2013; Day, Gu, & Sammons, 2016; Dutta & Sahney, 2016; Sun & Leithwood, 2012). In higher
education settings, transformational leadership studies on instructional leadership found positive
effects on student outcomes (Balwant, 2016; Pounder, 2009, 2014), while institutional
transformational leadership studies showed the positive effects of transformational leadership on
job satisfaction (Jyoti & Bhau, 2016; Sun et al., 2017). Despite the positive impact of
transformational leadership on school, teacher, and student outcomes, there is paucity of research
evidence on the leadership practices of transformational college presidents (Basham, 2012b;
Daas, 2013; Mattar, 2016). This study may fill the gap in the qualitative research data on
transformational leadership among higher education leaders.

Historical Context

In colonial days, the college president was most likely a member of the clergy (Rudolph,
1991). Since then, there has been a great change in the role of the college president. By the mid-
to-late 1800s the presidential role evolved, alongside the Industrial Revolution. As a result, both
the educational process and the college became more complex (Rudolph, 1991; Schmidt, 1930).
Between the early 1940s and early 1980s, higher education in the United States enjoyed a golden
age of unparalleled academic leadership (Cowley, 1980; Freeland, 1992; Kerr & Glade, 1986).
The golden age era ushered in a period of large student growth when the nation experienced an
unprecedented increase in student enrollment for college (Cummins, 2013, p. 211).

Birnbaum (1992) noted that few college presidents today can boast of the reputation enjoyed by the leaders of the 20th century colleges. This is due to the changing environmental circumstances in higher education. University governance was modified, and power was passed from lay councils to academic senates. Scott (2008) noted that this democratic phase of governance was short-lived. The managerial university of the 1980s was therefore birthed into a harsher and more stringent environment requiring greater accountability from stakeholders (McCaffery, 2010). The 21st century higher education landscape has its unique challenges: rapid technological change, globalization, escalating enrollment, and prohibitive tuition rates (ACE, 2017; Bok, 2015; Mitchell et al., 2016). The problems and challenges of college presidency therefore remain fundamentally the same, even though the environmental factors may be new (Bourgeois, 2016).

Social Context

There is a rhetoric of impossibility surrounding the job of a college president. Bourgeois (2016) describes building a university as a difficult endeavor that requires special abilities and skill. The budget crisis in higher education has added further pressures to the role of the college president. In a study of college presidents conducted by the ACE in 2017, presidents cited fundraising and budgets as the areas that occupy 60% of their time. The college president is expected to inspire donor confidence and create the climate that is conducive to fund-raising (Fisher, 1984). Therefore, the fund-raising process has essentially become one of the fundamental roles and responsibilities of the president (Setterwhite & Cedaja, 2005, p. 341). However, most new presidents are unfamiliar with this aspect of the job at the beginning of their presidency (ACE, 2017; Cook, 2012).

The performance of higher education in the nation reportedly falls short of the current needs of the society and economy because of sky-rocketing tuition rates which limit the access of aspiring high school graduates to college education (Bok, 2015; Carnevale, Smith, & Strohl, 2013; Hunt, 2008; Mitchell et al., 2016; Pernsteiner & Martin, 2016). The ACE (2017) study also revealed that more than 50% of college presidents expect to retire in the next five years or less. This makes the need for transformational college presidents even more urgent. College boards of trustees and presidents must start grooming the next generation of transformational leaders who can demonstrate the courage and wisdom necessary to pursue excellence for their institutions and opportunity for their students (Freeman, Commodore, Gasman, & Carter, 2016; Jackson, 2017; Nelson, 2008).

Theoretical Context

In a classic work that analyzed political leaders including Abraham Lincoln and Mahatma Ghandi, James McGregor Burns (1978) defined transforming leadership as that relationship between a leader and followers that transcends the routine transactions of an organization and helps each party achieve greater levels of self-actualization. Burns (1978) envisioned a reciprocal relationship in which the leaders and the followers positively influence one another. A crucial element of Burns (1978) conception of the transformational leader is that he has to uplift his followers morally. Bass (1985) further developed the theory by identifying four components of transformational leadership; he also developed the Multifactor Leadership Questionnaire (MLQ 5X) to measure transformational and transactional behaviors of leaders (Bass & Avolio, 2000).

Transformational leadership theory was initially introduced by Burns (1978) and later expanded into non-educational contexts by Bass (1985). The theory has since undergone 30

years of development in educational settings. The developments have mainly been directed towards the identification of effective transformational leadership practices in regards to school input and teacher and student outcomes, especially at the K–12 level (Leithwood, 1994; Leithwood & Jantz, 2000; Leithwood & Sun, 2012). Transformational leadership theory has the potential to fit the contexts that require environmental change and has proven useful in the understanding and development of school leadership **(**Bass & Avolio,1990; Berkovich, 2016; Leithwood, 1992; Sun, et al., 2017).

Dr. James L. Doti

The focus of inquiry for this case study is Dr. Doti, the immediate past president of Chapman University, Orange County, California. A veteran educator who joined the faculty of Chapman College in 1974, Dr. Doti is the recipient of several awards including but not limited to the Templeton Honor Award for Scholarly Excellence, the Horatio Alger Award, and the Ellis Island Medal of Honor (Chapman University, 2017b).

Dr. Doti had the privilege of leading Chapman University for 25 years from 1991–2016, after which he stepped down from the presidency. He currently serves as Professor Emeritus at the George L. Argyros School of Business and Economics at Chapman University. During his tenure, Chapman was transformed from a liberal arts college with 2,200 students into a master's comprehensive university with an enrollment of more than 8,000. Most recently, Chapman University was ranked among the top five regional universities in the West and third in "Most Innovative Schools" (*US News & World Report,* 2019). During his tenure, the university launched schools of law, film, and pharmacy, as well as Brandman University in Irvin, California, which focuses on adult professional education. Chapman University's endowment

grew by 880% as Dr. Doti inspired hundreds of millions of dollars in donations, including the five largest gifts in institutional history.

Under Dr. Doti's leadership, Chapman's physical plant was completely transformed. It grew from 18 acres to nearly 90 acres, adding nearly three million square feet of academic space. Thus, it is no surprise that the Chapman College for which Dr. Doti assumed leadership over two decades ago has now become thriving Chapman University, one of the leading mid-sized universities in the nation (Bourgeois, 2016; Do, 2015).

In 1991, Chapman ranked 61st on the *U.S. News & World Report* of Western university rankings (compared to 7th in 2016). An article in the 2016 summer issue of *Chapman Magazine* cataloged the accomplishments of Chapman University during Dr. Doti's presidency:

> When Doti took office as Chapman's 12th president 25 years ago, the university was still a college, and enrollment was 2,200. Now the student body numbers about 8000, many of them in the six colleges that have been added during his tenure. The number of buildings on campus has gone from 13 to nearly 70. Net assets have climbed from $226 million in 2003 to $1billion today. There was one endowed chair in 1991; now there are 39, as well as 25 endowed professorships. Then, there are these remarkable figures: since 1991, freshman applications have risen 1,867%, the average incoming SAT score has climbed more than 200 points, and Chapman *US News and World Report* student selectivity ranking has jumped from 92 to a position that toggles between No.1 and No. 2, depending on the report. (Arp, 2016, p. 1)

Dr. Doti led his followers in accomplishing this extraordinary feat in accordance with Bass and Riggio's (2006) definition of transformational leadership that "transformational leaders stimulate and inspire followers to both achieve extraordinary outcomes and, in the process,

develop their own leadership capacity" (p. 5). This qualitative case study explored the transformational leadership practices of Dr. Doti and how he lifted Chapman University from obscurity into national prominence.

The findings from the study has implications for current and aspiring college presidents on how to succeed in leading their institutions through a period of rapid change. Aspiring college presidents and higher education leaders in developing countries may learn how to successfully steer their schools through a time of transition. Boards of trustees for colleges may understand the qualities to look for in a potential presidential candidate. Higher education faculty and staff may learn how to collaborate with the president to achieve extraordinary results. Students and other stakeholders may benefit from the overall positive effects of transformational college presidents in their communities and societies at large.

Situation to Self

My motivation for this study is to understand how transformational leadership can change a higher education system. As a Nigerian who received her bachelor's and master's degrees from a Nigerian university over a period of 15 years, I already had an acute sense of the need for transformational leaders in the universities in the developing world. I graduated from the Nigerian premier university in 1988 and returned to the same college for my masters' degree in science in 2001. I was dismayed to find that there was not much improvement in the way things were done. The only obvious change was the absence of the retired and dead professors. Unfortunately, in 2019, 17 years after I received my master's degree, the situation of higher educational institutions in the most populous country in Africa has further deteriorated. The governmental instability in the nation has left the colleges severely underfunded, thereby stifling academic innovation and technological advancements which are so vital for 21st century higher

education institutions (Dumbili, 2014; Famade, 2015). Higher education institutions in other developing countries are undergoing similar experiences (Havergal, 2016; Manzoor, 2018; Mba, 2017; Oliver, 2004; Sanchez & Singh, 2018).

As a doctoral student of educational leadership at Liberty University, I became interested in educational leaders who transformed their schools especially during a tumultuous period. Although the history of higher education in America dates back to the 17th century, the higher education institution has undergone different cycles of change over the centuries. The 21st century climate of higher education is creating a challenge for college presidents and also highlights the need for transformational leaders who can lead successfully. While the challenges of higher educational institutes in the United States may be different from that of developing countries, the obstacles to be surmounted are equally formidable.

My worldview is observed through relativist or interpretivist epistemological orientation. In case study research, the investigator can "acknowledge multiple realities having multiple meanings with findings that are observer dependent" (Yin, 2014, p. 17). As the principal investigator for this study, I hope to capture the perspectives of the college president, Dr. Doti, and his leadership team through the lens of the transformational leadership theory. Based on their different meanings, I will seek to gain insight into how the president's leadership practices transformed the institution.

Problem Statement

Higher education is at a crossroad. The 21st century higher education institutions are facing the unprecedented challenges of "rapidly ballooning enrollments, escalating fiscal pressures, the change engines of technological advances, a wide array of constituents, and a tumultuous political climate" (Cook, 2012, p. 2). These challenges have made leading an

institution of higher education in the 21st century a formidable task. Transformational leaders change systems by influencing their followers and articulating a new vision for the future of the organization (Burns, 1978). The current circumstances in the 21st century higher education institutions call for transformational leaders who will influence their followers and lead their institutions into the future. This qualitative case study sought to understand the transformational leadership practices of a successful college president.

Empirical research shows that transformational leadership has uniformly positive effects on various school outcomes including teachers' commitment and job satisfaction, school culture and climate, school organization and instructional quality, and a small but positive impact on student learning (Allen et al., 2015; Anderson, 2017; Aydin et al., 2013; Day et al., 2016; Dutta & Sahney, 2016; Sun & Leithwood, 2012). However, there is a paucity of qualitative research in the literature that addresses the transformational leadership practices of higher education presidents. Furthermore, the few studies on transformational leadership in higher education are mostly quantitative (Balwant, 2016; Jyoti & Bhau, 2016; Noland & Richards, 2014; Pounder, 2014). According to Sun et al. (2017), the research evidence on the transformational leadership characteristics is scarce despite the positive impact of transformational leadership on school, teacher, and student outcomes. While there is an abundance of quantitative research on the effects of the principal's transformational leadership behaviors on school, teacher, and student outcomes at the K–12 level (Aydin et al., 2013; Day et al., 2016; Sun & Leithwood, 2012), the studies on transformational leadership in higher education are mostly quantitative (Balwant, 2016; Jyoti & Bhau, 2016; Noland & Richards, 2014; Pounder, 2014), and few studies provide in-depth understanding of the context for the transformational leadership practices of presidents of higher educational institutions (Basham, 2012b; Daas, 2013; Mattar, 2016). The problem is a

paucity of qualitative research in the literature that addresses the transformational leadership practices of higher education presidents.

Purpose Statement

The purpose of this single instrumental case study was to explore the transformational leadership practices of Dr. Doti, president emeritus of Chapman University, Orange County, California. The findings from the study may be useful as a model for current and aspiring college presidents, boards of trustees, college administrators, and faculty. For the purposes of this research, the transformational leader will be generally defined as a college president who caused positive change in his college (system) and followers (Burns, 1978). The theory that guided this study was transformational leadership theory by Burns (1978) who identified two forms of leadership: transactional and transformational. Burns defined transformational leadership as a leadership approach in which the leader transforms followers into leaders, and leaders into agents of change. Bass (1985) further developed the transformational leadership theory by identifying four components of transformational leadership: Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration.

Significance of the Study

The advent of the 21st century has come with various new challenges to the institutions of higher learning; these include but are not limited to technological advancement, globalization, dwindling governmental funds, and astronomical increases in cost. Transformational leaders in higher education will lead their schools to successfully adapt to these changes so that their institutions can continue to thrive. The findings from the present study may enlighten current and aspiring college presidents on how to successfully lead their institutions through a period of rapid change. Aspiring college presidents and higher education leaders in developing countries

may learn how to utilize transformational leadership principles to steer their institutions towards positive change. Boards of trustees for colleges may understand the qualities to seek in a potential presidential candidate. Higher education faculty and staff may learn how to collaborate with the president in order to achieve extraordinary results. Potential donors may understand the need of colleges for financial support. Students and other stakeholders may benefit from the overall positive effects of transformational college presidents in their communities and societies at large. This study has empirical, theoretical, and practical significance for the field of educational leadership and administration.

Empirical Significance

The effects of transformational leadership behaviors of school principals on various school outcomes such as teacher job satisfaction, instructional leadership, and student achievement are well documented (Allen et al., 2015; Anderson, 2017; Aydin et al., 2013; Day et al., 2016; Dutta & Sahney, 2016; Eliophotou-Menon & Ioannouz, 2016; English, 2014; Sun & Leithwood, 2012). However, there is a paucity of qualitative research in the literature that addresses the transformational leadership practices of higher education presidents. Furthermore, the few studies on transformational leadership in higher education are mostly quantitative (Balwant, 2016; Jyoti & Bhau, 2016; Noland & Richards, 2014; Pounder, 2014). According to Sun et al. (2017), the research evidence on the transformational leadership characteristics is scarce despite the positive impact of transformational leadership on school, teacher, and student outcomes. This study may fill the gap in the qualitative research data on transformational leadership in higher education institutions.

Theoretical Significance

Transformational leadership theory is the most explored and discussed leadership theory in the new millennium (Dinh et al., 2014; Tal & Gordon, 2016). However, the theory has received significant criticism regarding its utility and fit in the management field, but not so much in the educational field (Berkovich, 2016). Berkovich (2016) reiterated the usefulness of the transformational leadership theory in the educational setting and called for further development and expansion of the theory in educational administration. This study may further inform the utility and fit of the transformational leadership theory specifically in higher education, and in educational administration, and in management at large.

Practical Significance

Transformational leadership has become a necessary leadership attribute for higher education presidents to ensure the successful adaptation of institutions to the 21st century climate of constant change in the academic and economic environment (Basham, 2012a, 2012b; Bourgeois, 2016). However, few qualitative studies have addressed transformational leadership from the perspective of higher education presidents (Basham, 2012b; Daas, 2013; Mattar, 2016). This study may have implications for aspiring higher education institution presidents and leaders, higher education leaders in the developing countries, higher education faculty and staff, students, alumni, and higher education community and stakeholders.

Research Questions

Questions for qualitative research are descriptive and open ended. The central question is a broad overarching question that addresses the research problem. The sub-questions divide the central question into specific areas of inquiry in alignment with the theoretical framework guiding the study. In a case study, the research questions help identify the relevant information

to be collected about the individual who will be the focus of the case study and the primary unit of analysis (Creswell, 2013; Patton, 2015; Yin, 2014). In this section, the research questions for the study are presented. The central question addressed the transformational leadership practices of Dr. Doti, the president emeritus of Chapman University. The sub-questions further explored Dr. Doti's transformational leadership practices based on the four components of Bass' (1985) transformational leadership model: Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration. The sub-questions formed the core questions asked during data collection (Creswell, 2013).

Central Question

How did Dr. Doti lead the transformation of Chapman University from 1991–2016? Burns (1978) defined transformational leadership as a leadership approach in which the leader transforms followers into leaders, and leaders into agents of change. Bass and Riggio (2006) described transformational leaders as leaders who "stimulate and inspire followers to both achieve extraordinary outcomes and, in the process, develop their own leadership capacity" (p. 5). The success of Dr. Doti's leadership at Chapman University is a testament to his transformational leadership practices. The central question helped the researcher to identify such leadership practices through the lens of the transformational leadership theory.

Sub-Questions (SQ)

SQ1: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that stimulated their sense of purpose and collective mission for Chapman University?

Idealized influence is the first of the four components of Bass' (1985) transformational leadership model. The transformational leader's character and behavior should serve as a role

model to the followers by demonstrating the willingness to take risks and emphasizing the importance of having a collective sense of mission (Bass & Riggio, 2006). This research question allowed the participants to identify the leadership practices of the president that elicited in them the confidence that they could overcome obstacles and achieve the seemingly impossible.

SQ2: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's inspirational and motivational leadership practices?

Inspirational motivation is the second component of Bass' (1985) transformational leadership model. This research question allowed the participants to identify how Dr. Doti inspired and motivated the followers by developing team spirit, enthusiasm and optimism, and casting a compelling vision for the future of the college that they could embrace (Bass & Riggio, 2006).

SQ3: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that intellectually stimulated them to become more creative and solve problems in new ways?

Intellectual stimulation is the third component of Bass' (1985) transformational leadership model. This research question probed the leadership practices of the president about how he stimulated his followers to rethink old ways of doing things and to reassess their old values and beliefs. It also shed light on how Dr. Doti solicited new ideas and creative solutions while exhibiting tolerance for mistakes that may have occurred in search of creativity (Bass & Riggio, 2006).

SQ4: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices as a mentor and coach that helped them develop their individual leadership capacities?

Individual consideration is the fourth and final component of Bass' (1985) transformational leadership model. This question allowed the participants to identify Dr. Doti's mentoring and coaching practices towards individual followers through the provision of a supportive climate within which followers could thrive by being exposed to new learning opportunities (Bass & Riggio, 2006). It also probed how he delegated tasks so that followers could develop their leadership skills.

Definitions

1. *Followers:* For the purposes of this study, followers refer to the agents of change who were inspired by Dr. Doti's leadership that led to the transformation that occurred at Chapman University. They included the board of trustees, members of his cabinet, faculty, administrative staff, and the community of donors.

2. *Higher Education Institutions*: For the purposes of this study, higher education institutions refer to post-secondary institutions including but not limited to community colleges, midsized and full-fledged research universities (Bok, 2015). Chapman University, California, is the point of reference and the site of data collection for the research.

3. *Idealized influence:* Transformational leaders are role models for their followers. They demonstrate high standards of ethical and moral conduct. They are trustworthy, risk taking, and able to generate a sense of mission among the followers. Followers admire and want to emulate them (Bass, 1985; Bass & Riggio, 2006).

4. *Individual consideration*: Leaders coach, mentor, and consider their subordinates' individual needs, abilities, and aspirations. They are advisors, coaches, and mentors. Followers are developed to higher levels of potential through the provision of new learning opportunities. Individual differences in terms of needs and desires are addressed (Bass, 1985; Bass & Riggio, 2006).

5. *Inspirational motivation*: Leaders inspire and motivate followers by adding meaning to their work, encouraging a team spirit, and casting a compelling vision of the future of the organization in such a way that the followers want to come on board to bring the vision to reality (Bass, 1985; Bass & Riggio, 2006).

6. *Intellectual stimulation*: Leaders encourage followers to be creative and innovative by stimulating them to approach old situations in new ways and looking at problems from new angles. New ideas and creative solutions are solicited and there is a tolerance for mistakes that may occur in the quest for creativity (Bass, 1985; Bass & Riggio, 2006).

7. *Transformational Leadership (TSL*): Burns (1978) defined transforming leadership as that relationship between a leader and followers that transcends the routine transactions of an organization and helps each other achieve greater level of self-actualization.

8. *Transactional Leadership (TL):* In contrast to the relational nature of transformational leadership, transactional leadership occurs when a person influences another through an exchange of something of worth. The exchange is the embodiment of the purpose of each person, leader and follower, and is short-lived (Burns, 1978).

Summary

The purpose of this single instrumental case study was to explore the transformational leadership practices of Dr. James L. Doti, president emeritus of Chapman University, Orange

County, California. Even as the nation looks to colleges and universities to provide the educated citizenry it needs to compete globally, higher education institutions face unprecedented challenges such as globalization, technological advancements, dwindling funds from government, intense scrutiny from the stakeholders, and demands for accountability from tax payers (ACE, 2017; Basham, 2012a, 2012b; Bok, 2015; Bourgeois, 2016; McCaffery, 2010). Leaders of educational institutions have the potential to impact their schools through transformational leadership practices (Bass & Riggio, 2006). Transformational leaders change systems by influencing their followers and articulating a new vision for the future of the organization (Burns, 1978). There is a need for such transformational presidents in the 21st century higher education institutions.

The impact of transformational school principals on various student outcomes have been vastly researched at the K12 level (Allen et al., 2015; Anderson 2017; Aydin et al., 2013; Day, Gu, & Sammons, 2016; Dutta & Sahney, 2016; Sun & Leithwood, 2012). However, at the higher education level, transformational leadership has been studied mostly at the instructional rather than institutional level (Balwant, 2016; Jyoti & Bhau, 2016; Noland & Richards, 2014; Pounder, 2014). This study may fill the gap in the qualitative literature data on the practices of transformational college presidents. Findings from this study may have implications for higher education institutions, aspiring and current college presidents and leaders, higher education boards of trustees, faculty, students, community of donors, and other stakeholders.

CHAPTER TWO: LITERATURE REVIEW

Overview

The ACE (2017) reported that there is increased pressure to transform higher education institutions in the face of challenges such as a diversifying student body, funding volatility, accountability, and a tumultuous political climate. The college president's job has therefore become more challenging. This single instrumental case study explores the transformational leadership practices of Dr. James L. Doti, president emeritus of Chapman University, Orange County, California.

In this chapter, the origins and the development of the transformational leadership theory, which served as the theoretical framework for the study, is explicated. Furthermore, the current literature on transformational leadership in higher education is reviewed while the need for transformation in the 21st century higher education institutions and the characteristics of a transformational college president are discussed. The chapter concludes with a review of the challenges facing the small liberal arts colleges as a point of reference for other higher education institutions.

Theoretical Framework

The theoretical framework for this study is the transformational leadership theory. The transforming and transactional leadership theory was forwarded and popularized by Burns in his seminal work *Leadership* (1978), following the initial usage of the concept by Downton (1973). Burns conceptualized leadership as either transactional or transformational. Transactional leaders lead by social exchange. Burns (1978) provided the example of politicians promising no new taxes in order to win votes, or business leaders offering rewards for productivity or denying rewards for lack of productivity. In contrast, transformational leaders inspire followers to both

achieve extraordinary outcomes and develop their own leadership capacity in the process (Bass

& Riggio, 2006). Although Burns' seminal book mostly addressed political leadership, many

different researchers including Bass (1985), Kouzes and Posner (2012), and Rost (1991) have

since built upon his work. Other researchers have found the transformational leadership model

to be applicable in various societal sectors and settings including the military, corporate

organizations, healthcare, and education (Avolio & Yammarino, 2002; Bass, 1985; Berkovich,

2016; Bush, 2014; Hallinger, 2003).

Leadership and Power

Burns was a political scientist and presidential historian. His transforming leadership

theory was inspired by the leadership style of Franklin D. Roosevelt (FDR), the American

president whose leadership style transcended transactional leadership to transform the nation in

the era of the second world war (Burns, 2003). Burns (1978) noted that it is important to

understand the essence of power in order to understand the nature of leadership, which he

identified as "a special form of power" (p.12). One aspect of power that is often overlooked is

purpose. Leadership must be exercised with purpose and in alignment with the motivations of

leaders and followers. He identified two forms of power-wielders: rulers and leaders. Rulers

may treat people as things in that things have no motives, which Burns (1978) called naked

power-wielding; however, leaders may not, because leadership is closely intertwined with

followers' needs and goals.

> I define leadership as leaders inducing followers to act for certain goals that represent the
>
> values and the motivations—the wants and needs, the aspirations and expectations—of
>
> both leaders and followers. And the genius of leadership lies in the manner in which

> leaders see and act on their own and their followers' values and motivations. (Burns,
>
> 1978, p. 19)

In his follow-up work, *Transforming Leadership*, Burns (2003) cited Gandhi, Martin Luther

King, Jr., Nelson Mandela, and Andrei Sakharov as examples of moral leaders who transformed

their societies through the mobilized power of moral values.

Transactional Leadership

The leader-follower interaction takes two fundamentally different forms: transactional

and transforming leadership. In contrast to the relational nature of transformational leadership,

transactional leadership occurs when a person influences another through an exchange of

something of worth. The exchange is the embodiment of the purpose of each person, leader and

follower, and is short-lived (Burns, 1978). Transformational leadership as proposed by Burns

(1978) is a higher form of leadership than transactional leadership. Both forms of leadership

always appear together in the literature. It is therefore imperative to delineate the components of

transactional leadership in order to better understand transformational leadership.

Burns (1978) noted that transactional leadership is the traditional form of leadership in

which he referred to each party as bargainers whose purposes are related only within the

bargaining process. Transactional leadership is a give and take relationship in which the leader

gives the followers something that they want (e.g., jobs) in exchange for something that the

leader desires (e.g., votes). The leader and follower are mutually dependent on one another, and

the contributions of each party are understood and rewarded (Burns, 1978; Kellerman, 1984).

Transactional leadership is essentially short-lived since leader and follower are not bound

together by an enduring purpose and may choose to go their separate ways after the transaction.

Transactional leadership behavior is the leadership style found in the industrial sector (Yammarino & Bass, 1990). All transactions in leadership are not equivalent. In a study of employee turnover in a factory, Graen, Linden, and Hoel (1982) noted that employees in high-quality transactions with the leader were more likely to stay in the organization than employees in low-quality contractual agreements with the leader. Low-quality transactions are based solely on the exchange of goods or rights, while high-quality transactions are augmented by an interpersonal bond between leaders and followers (Landy, 1985).

Components of transactional leadership. Transactional leaders influence their followers by "setting goals, clarifying desired outcomes, providing feedback, and exchanging rewards for accomplishments" (Eden, Avolio, & Shamir, 2002, p.735). Bass (1985) operationalized the concept of transactional leadership in three behavioral constructs: contingent rewards (CR), and management-by-exception (active), and management-by-exception (passive). In contingent rewards systems, the leader provides their associates with material and psychological rewards contingent on the fulfillment of contractual obligations. Management-by-exception may be active; this occurs when a leader is vigilant and ensures that their associates meet predetermined standards, often through accountability measures or passive. Under management-by-exception (passive) the leader intervenes only after non-compliance with standards has occurred or when mistakes have already happened. Active transactional leadership behavior (CR) has been positively correlated to follower attitudes and performance (Avolio, Waldman, & Einstein, 1988; Bass & Avolio, 1990; Dubinsky, Yammarino, Jolson, & Spangler, 1995; Waldman, Bass, & Yammarino, 1990).

Transformational Leadership

The purpose of this study was to explore the transformational leadership practices of Dr. Doti, president emeritus of Chapman University, Orange County, California. The transformational leadership theory is most appropriate for this study in order to examine the transformation of Chapman University during Dr. Doti's 25-year tenure and served as the lens through which the data was analyzed. Burns (1978) argued that transforming leadership is more complex and more potent than transactional leadership:

> Transforming leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. Their purposes which might have started out as separated but related. . . become fused. . . . Transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both leader and led, and thus it has a transforming effect on both. (p. 20)

Burns (1978) further explained that the outcome of this mutual relationship may have a ripple effect whereby followers are converted into leaders who in turn become moral agents. In an interview with Allen (1996), Burns asserted that there is a moral aspect to leadership which requires that "leadership transactions be carried out with honesty, mutuality and integrity. . . because people want their leaders to be inherently good" (p. 14). In a recent study to evaluate how followers' moral reasoning influenced their perceptions of transformational leadership behavior, Naber and Moffett (2017) found that individuals with greater moral reasoning perceived more transformational leadership behaviors as transformational, and were more likely to evaluate those transformational leadership behaviors as important. The relationship between

moral reasoning and transformational leadership behaviors was significantly stronger compared to its relationship with transactional leadership behaviors.

Leadership and change. Burns (2003) emphasized the principle of change in transforming leadership theory. He used the concept of metamorphosis, which may lead to radical change in outward form or inner character as the depth of change fostered by transforming leadership. Transformation therefore involves basic alterations of entire systems. Transforming leadership involves bringing change into an organization, and such change takes time to manifest. The test of leadership function is the leader's contribution to change, measured by purpose drawn from collective motives and values. Such change can only be realized through the exercise of leadership rather than naked power-wielding. The extent of change must be investigated and not assumed. Real change, according to Burns (1978), is "the generation of new conditions that will generate their own changes in motivations, new goals, and continuing change" (p. 441).

Components of transformational leadership. While Burns was working on the transforming leadership theory in the political context, Bass, an industrial psychologist, and his colleagues were also studying leadership and the process of change psychologically (Burns, 2003). Bass (1985) advanced the transformational leadership theory by making critical revisions of Burns' (1978) transforming leadership theory. Bass (1985) developed a survey instrument called the Multifactor Leadership Questionnaire (MLQ), which measures the four components of transformational leadership: (a) Charisma/Idealized Influence, (b) Inspirational Motivation, (c) Intellectual Stimulation, and (d) Individualized Consideration. Idealized Influence is the charismatic dimension of transformational leadership. Charisma "is a constellation of personal characteristics that cause an individual to have impact on others—to inspire them, lead them,

influence them, or in some other way affect their feelings and behaviors" (Riggio, 2004, p. 158). Idealized influence is characterized by the leader providing vision and a sense of mission, instilling pride in, and among the group, and gaining respect, admiration, and trust. The leader is a role model whom the followers want to emulate.

Inspirational motivation requires the transformational leader to articulate a vision that is appealing and inspiring to followers. The leader inspires the followers to accomplish great feats and also encourages team spirit and generates enthusiasm among them. Intellectual stimulation is Bass' (1985) third factor associated with transformational leadership. The leader challenges the followers' assumptions and shows them new ways of looking at old problems (Avolio et al., 1988). New ideas and creative solutions are solicited and there is a tolerance for mistakes that may occur in the search for creativity (Bass & Riggio, 2006). Individual consideration is Bass' (1985) fourth component of transformational leadership. Individual consideration measures the degree to which the leader attends to each follower's needs, acts as a mentor or coach to the follower, and listens to the followers' concerns. Each of these four components can be measured with the Multifactor Leadership Questionnaire (MLQ). These four components of transformational leadership served as the framework of the research questions for this study.

Burns (2003) acknowledged Bass' (1985) work on quantitative measurement instruments of transformational leadership but warned that the measurement of change must be both quantitative and qualitative. To that effect, data for this research work was gathered qualitatively through interviews, document analysis, and observation of archival videos.

Empowerment and transformational leadership. Both Burns (1978) and Bass (1985) proposed that transforming or transformational leaders empower their followers to develop their leadership capacities, and in the process become leaders who can sustain the change or generate

their own changes in the system. The dynamic relationship between transforming leaders and followers is expected to result in the establishment of new levels of performance exceeding the levels achievable by either individual independently (Burns, 1978). Transformational leaders help followers to develop their own leadership potential through intellectual stimulation, trusting them to handle difficult and new assignments and via mentoring and coaching (Individual Consideration). All these are done in alignment with the organization's goals and visions (Inspirational Motivation), resulting in followers being motivated to do more than they originally intended or thought possible (Bass & Riggio, 2006). The positive relationship between transformational leadership and empowerment of followers is well documented (Brossoit, 2000; Jung & Sosik, 2002). In a more recent study of 321 employees from various organizations, Effelsberg, Solga, and Gurt (2014) found that transformational leadership predicted followers' willingness to engage in selfless pro-organizational behavior and organizational identification to fully mediate this relationship.

Transactional and Transformational Leaders

Burns' (1978) transactional leadership theory presented the leader and followers as bargainers who would move on to other transactions with other leaders or followers depending on the goods being offered and the need of the buyer. The relationship is essentially short-lived and does not endure long enough for change to happen in the system. Burns' (1978) transforming leader transcended the transaction between leader and follower to the leader engaging with the followers, creating a dynamic relationship in which followers are transformed into a "new cadre of leaders" (p. 20). Although, transforming leaders can be transactional in some circumstances, they are more concerned about securing enduring social change for their followers. The transactional leader in Burns' (1978) theory is not transformational.

In contrast to Burns (1978), Bass (1985) suggested that transactional and transformational leadership traits can simultaneously reside in one leader. Bass (1985) agreed with Burns (1978) that transactional leadership involves exchange of goods and services between leader and follower; however, he went further to define components of transactional leadership. Bass' first component of transactional leadership is contingent rewards. Bass (1985) maintained that all leaders of organizations are transactional in that they reward their employees for the services provided. Transformational leaders go beyond transactional leadership to invest in the development and empowerment of followers. Other components of transactional leadership proposed by Bass (1985) are management-by-exception (active), and management-by-exception (passive).

Bass' (1985) MLQ scale is a full range leadership scale which measures transactional, transformational, and laissez-fare leadership styles. Active transactional leadership behavior, (contingent reward) has been positively correlated to follower attitudes and performance (Avolio et al., 1988; Bass & Avolio, 1990; Dubinsky et al., 1995; Waldman et al., 1990). Bass (1985) noted that transactional leadership can be quite effective and would be even more so if augmented by transformational leadership. He suggested that transformational leadership augments transactional leadership in predicting effects on follower satisfaction and performance (Elenkov, 2002; Seltzer & Bass, 1990; Waldman et al., 1990). Transformational leadership also augments transactional leadership in predicting levels of motivation, risk taking, and creativity (Avolio & Howell, 1992). Bass and Riggio (2006) suggested that researchers not only use the MLQ scale for measuring transformational leadership, but also transactional attributes of the leader, because most effective leaders tend to utilize the contingent reward component of transactional leadership.

Prasad and Junni (2016) examined the influence of chief executive officer (CEO) transformational and transactional leadership on organizational innovation. Top management team members from 163 companies in services, construction, and manufacturing in the US participated in the study. Findings from the study indicate that CEO transformational and transactional behaviors positively influenced organizational innovation. However, organizations benefited more from transformational leadership in dynamic environments. Prasad and Junni (2016) argued that by providing contingent rewards, transactional leaders can motivate employees to be innovative.

In a more recent study of 343 employees in a large communication company and their 75 workgroup managers, Kark, Dijk, and Vashdi (2018) studied the effects of transformational and transactional leadership on followers' creativity; they found that the regulatory aspect of transactional leadership, management-by-exception (active), hindered followers' creativity, while transformational leadership enhanced followers' creativity.

Authentic and Inauthentic (Pseudo-Transformational) Leadership

Burns (1978) distinguished between rulers and leaders by the way they exercised power. Naked power-wielders coerce rather than motivate their followers. They are not interested in the welfare of their followers but in their own selfish ends. Although, they may be charismatic and persuasive, they have no moral values or motives and may ultimately lead followers to fulfill their dark evil desires. Burns (1978) classified them as despots and tyrants, not leaders. Leaders such as Hitler, Stalin, and Mao, who influenced their followers to destructive and evil ends, are not transformational leaders. Drucker (2008) called them misleaders, while Bass and Riggio (2006) identified such leaders as inauthentic or pseudo-transformational leaders.

Lin, Huang, Chen, & Huang (2017) defined pseudo-transformational leadership as the interaction between transformational leadership and the subordinates' perception of their supervisor's manipulative intention. Based on this definition, they conducted a study of 216 subordinates reporting to 66 supervisors to investigate the effects of pseudo-transformational leadership on contextual performance through organizational identification. Lin et al. found that when subordinates perceived high level of manipulative intention of transformational leadership, they were less likely to identify with the organization and less willing to participate in contextual activities.

The Effectiveness of Transformational Leadership

Transformational leadership theory has emerged as one of the most dominant leadership theories in the new millennium (Dinh et al., 2014; Mhatre & Riggio, 2014; Tal & Gordon, 2016), and has been found to be more effective than transactional leadership (Avolio & Bass, 1991; Bass & Riggio, 2006). A large and growing body of evidence has shown that followers of transformational leaders are more productive at the individual, unit, team, or firm level (Barrick, Thurgood, Smith, & Courtright, 2015; Bass, Avolio, Jung, & Berson, 2003) and when the performance outcomes are measured in-role tasks, extra-role activities, or innovations (Chen, Farh, Campbell-Bush, Wu, & Wu, 2013; Keller, 1992). The transformational leadership theory has also been supported by theoretical and meta-analytic reviews (Eagly, Johannesen-Schmidt, & van Engen, 2003; Judge & Piccolo, 2004; Lowe, Kroeck, & Sivasubramaniam, 1996; van Knippenberg & Sitkin, 2013), along with an in-depth theoretical and methodological critique (van Knippenberg & Sitkin, 2013).

Criticism of the Transformational Leadership Theory

The theory of transformational leadership has been criticized for portraying leadership too positively (Beyer, 1999; Yukl, 1999). In response to this criticism, Bass and Riggio (2006) called for research on the negative aspects of the theory, and also the possibilities of other leadership theories that may be more effective than the transformational leadership theory. Another criticism of the transformational leadership model is that it conceptualizes leadership as a personality trait (something people are born with) because of the reference to charisma, rather than something that aspirants could learn (Northouse, 2013). Drucker (2008) also argued that charisma does not guarantee effective leadership and that leadership takes hard work rather than a leadership personality. However, Bass and Riggio (2006) asserted that transformational leadership goes beyond charismatic leadership because charisma is a component and not the totality of transformational leadership and that transformational leadership can be taught and learned. Concerns also exist about the hierarchical leader-centric or heroic nature of this approach. Barker (2001) suggested that there is much focus on superior versus subordinate relationships at the expense of other important organizational and contextual variables related to leadership.

The harsher critics of the theory are van Knippenberg and Sitkin (2013), who called for the abandonment of the theory due to issues on the accuracy of the MLQ. Bass and Riggio (2006) reported other methods that could be used to measure leaders' transformational leadership behaviors such as interviews, observations, and diaries. Other instruments besides the MLQ have also been developed to assess transformational leadership such as Transformational Behavior Inventory (TLI), Transformational Leadership Questionnaire (TLQ) and Global Transformational Leadership Scale (GTL; Goodstein & Lanyon, 1999). In spite of the

criticisms, transformational leadership continues to be relevant in scholarly dialogue as morality and ethics have reemerged in the leadership literature and remain an important concept for understanding effective leadership (Copeland, 2016; Kezar, Carducci, & Contrera-McGavin, 2006; Lin et al., 2017; Naber & Moffet, 2017). A recent bibliometric analysis by Tal and Gordon (2016) detailed the number of research papers on transformational leadership and other leadership theories between 1967 to 2014; transformational leadership remained the most influential in leadership research.

Transformational Leadership in Education

Transformational leadership is one of the central and most influential leadership models in the field of educational administration (Bush, 2014; Hallinger, 2003). The theory was embraced as an ideal model for school leadership because of its relevance to the contemporary challenges encountered by school principals (Berkovich, 2016). The advantages of transformational leadership behaviors and its positive correlation with effective school leadership was established by the works of several researchers (e.g., Leithwood, Jantzi, & Steinbach, 1999; Leithwood & Jantzi, 2000). Empirical research evidence shows that transformational leadership has uniformly positive effects on teachers' commitment, satisfaction, perceived leader effectiveness, changing classroom practices, and pedagogical or instructional quality (Anderson, 2017; Leithwood, 1994; Leithwood & Jantzi, 2000; Leithwood & Sun, 2012). Transformational leadership practices of K12 principals have also been found to have positive effects on student achievement and school culture and climate (Allen et al., 2015; Bass & Riggio, 2006; Dutta & Sahney, 2016; Eliophotou-Menon & Ioannouz, 2016; Engel, Hotton, & Devos, 2008; English, 2014; Hong, 2017; McCarley, Peters & Decman, 2014). Transformational leadership is even

more relevant for the 21st century school environment as the expectations for student outcomes and school improvement increase.

Most of the initial work on transformational leadership theory in education was focused on the K12 sector. More recently, Pounder (2009) introduced the implementation of transformational-instructional leadership in the higher education classroom. Pounder (2014) asserted that transformational classroom leadership is beneficial for enhancing the quality of the classroom experience for both student and teacher, especially in higher education. A meta-analytic review by Pounder (2014) affirmed that instructional transformational leadership behaviors were positively associated with student engagement, satisfaction, motivation, and creativity both in traditional and online university environments (Balwant, 2016; Bogler, Caspi, & Rocas, 2013; Bolkan & Goodboy, 2009, 2011; Noland & Richards, 2014; Pounder, 2009, 2014; Zacher & Johnson, 2015). Bakar and Mahmood (2014), Jyoti and Bhau (2015, 2016), and Yildiz and Şimşek (2016) found that transformational leadership behaviors positively correlate with job satisfaction and job performance in higher education settings.

Sun et al. (2017) noted that research evidence of the antecedents of transformational leadership is scarce "despite its positive impact on school, teacher, and student outcomes" (p. 3). In a meta-analytic review, Sun et al. found that transformational leadership is related to three sets of antecedents: (a) leader's qualities (e.g., self-efficacy, values, traits, emotional intelligence); (b) organizational features (e.g., organizational fairness); and (c) the leader's colleagues' characteristics (e.g., follower's initial developmental level).The empirical literature on the characteristics of transformational leaders in higher education is sparse, especially as relating to college or university presidents (Basham 2012a, 2012b; Mattar, 2016). This study may fill the

existing gap in the literature and elaborate on the utility of the transformational leadership theory in higher education administration.

The transformational leadership theory as proposed by Burns (1978) and the four major theoretical components identified by Bass (1985) are the most appropriate theoretical framework for the present qualitative case study to explore the transformational leadership practices of a college president. Transformational leaders change systems by influencing their followers and articulating a new vision for the future of the organization (Burns, 1978). Dr. Doti, the immediate past president of Chapman University, and the focus of inquiry for this case study, demonstrated that he is indeed a transformational leader by influencing his followers and articulating a new future for Chapman University. Dr. Doti's leadership team believed in his vision and worked with him to implement the plan until change happened, positively affecting the totality of the college. This qualitative case study examined, through the lens of the transformational leadership theory, how Dr. Doti led the transformation of Chapman University from 1991–2016.

Related Literature

The 21st century higher education institutes are in the midst of a rapid and fast-paced change due to several factors which include but are not limited to technological advances, new teaching and learning approaches (massification), socio-economic changes, loss of government funding, and international competition (Bok, 2015; Cook, 2012; Freeman et al., 2016; Glassner & Schapiro, 2013; Kezar, 2001; McCaffery, 2010; Pierce, 2015; Thelin, 2011). These challenges have created an urgent need for transformational college presidents (Basham, 2012a; 2012b; Bourgeois, 2016; Mattar, 2016; Sun, et al., 2017) who would lead the higher education

institutions to succeed in their mission of providing the educated citizenry for the nation to compete on the global stage (ACE, 2017; Cook, 2012).

The current literature on college presidency in the United States, highlighting the complexity of the position, and on transformational leadership in higher education institutions is presented in this section. The aforementioned challenges facing higher education institutions in the 21st century are discussed. The related literature concludes with a review of the challenges facing the small liberal arts colleges as a point of reference for other higher education institutions.

The Profile of a College President

According to the eighth edition of the American College President study (ACE 2017), a typical college president is a 62-year-old white male with a doctorate degree who has a life-long career in higher education and has been in his current position for seven years. Thirty percent of college presidents are female while 17% are minorities. The responsibilities of the president are myriad, and his or her job requires special skills. An aspiring college president is expected to be experienced in educational leadership and administration. This is because of the prevailing challenges of higher education in the 21st century, and also the multiplication of the tasks that the president must handle. These responsibilities include but are not limited to (a) oversight of the quality of the academic and support programs of the university and all of its component entities; (b) supervision of the relationship between students and the administration; (c) administration of the personnel system; and (d) management of the university's finances. In addition to these, the college president is expected to wear many hats. The former president of the University of California, Clark Kerr, captured the complexity of the president's role in the following quote:

The university president in the United States is expected to be a friend of the students, a colleague of the faculty, a good fellow with the alumni, a sound administrator with the trustees, a good speaker with the public, an astute bargainer with the foundations and the federal agencies, a politician with the state legislature, a friend of industry, labor, and agriculture, a persuasive diplomat with donors, a champion of education generally, a supporter of the professions (particularly law and medicine), a spokesman to the press, a scholar in his own right, a public servant at the state and national levels, a devotee of opera and football equally, a decent human being, a good husband and father, an active member of a church. Above all he must like traveling in airplanes, eating his meals in public, and attending public ceremonies. No one can be all of these things. Some succeed at being none. (Kerr & Glade, 1986, p. 22)

A Change of Guard in College Presidency

The president of a college or university is the CEO of the institution. The board of trustees of the college appoints the college president after a rigorous search. Due to the complexities of the job, boards of trustees prioritize experienced presidents for the job. This has resulted in an aging population of college presidents. Fifty-eight percent of college presidents are over 60 years old, while 11% are 71 years or older. More than 50% of the 1,546 college presidents in the most recent ACE (2017) study expect to retire in five years or less. This will create a gap in higher education presidency in the near future. However, only 24% of presidents surveyed said their institution has a presidential succession plan. Opportunities to lead higher education institutions have gradually increased for women and minorities. Women and minorities gained a 4% increase each in higher education presidency since 2011 (ACE, 2017). The higher education sector will need to start grooming leaders to replace the old guard of

presidents; colleges should seek out the strong leadership talent from the women and minorities, who remain grossly underrepresented in higher education presidency (Jackson, 2017).

Financial Challenges in College Administration

In the most recent ACE (2017) report, 61% of college presidents complained that they "never have enough money" (see Table 1). Therefore, 65% of presidents spend the bulk of their time on budgeting and financial management, while 58% spend the most time on fundraising. Twenty-eight percent noted that they were the least prepared for fundraising when they became college presidents (ACE 2017; Cook, 2012). Furthermore, 41% of presidents think that their state is hostile and expect state funding to fall over the next five years, while 28% expect a decrease in federal funding over the same period. This confirms Mitchell et al.'s (2016) finding that 46 states in America spent 18% less per student in 2015–2016 than they did before the great recession in 2008. Consequently, 75% of college presidents expect tuitions and fees to increase over the next five years. Bourgeois (2016) noted that both public and private colleges are looking more to philanthropic support as their primary source of revenue. Eighty-five percent of respondents to the ACE (2017) study expect private gifts and grants to increase over the next five years.

Table 1

Challenges Facing Presidents

Top Five Challenges Facing Presidents: 2016 (in percent)	Total
Never enough money	60.8
Faculty resistance to change	45.0
Lack of time to think	44.1
Problems inherited from previous relationships	34.5
Belief by others you are infinitely accessible	31.3
Too many demands and not enough time	30.1
Campus politics	27.0
Difficulty cultivating leadership in others	27.0
Work-life balance	26.1
Unrealistic expectations for problem solving	23.4

Note. Adapted from *American College President Study 2017*. © 2017, American Council on Education. Used with permission (see Appendix A).

A similar annual survey of 618 campus leaders conducted by Gallup for *Inside Higher Ed* early in 2018 revealed that the majority of presidents recognize a slipping support from the public due to news media and political focus on student debt (Lederman, 2018). Ninety-eight percent of presidents cited affordability and student debt, doubts about the viability of degrees earned from colleges (95%), and perception of liberal political bias (86%) as the major factors responsible for the decline in public support (Lederman, 2018). In order to alleviate student concerns about affordability, presidents and trustees of private universities are offering tuition resets, which involves slashing the sticker prices advertised by colleges. Eight private colleges have announced tuition reductions starting in the fall of 2018 (Massa, 2017; Seltzer, 2017c). While 67% of presidents agreed that there would be more tuition resets at private colleges in the next year, 62% expected more tuition freezes at public institutions. The 2018 Gallup survey for *Inside Higher Ed* further revealed that 40% of presidents expect six to 10 colleges to close in 2018, while more than 50% of presidents expect one to five mergers of private and public institutions respectively (Lederman, 2018). Thirteen percent of campus leaders predicted the

closure or merging of their own institution in the next five years (Jaschik, 2018; Lederman, 2018).

The 21st century challenges in higher education in the United States add a new dimension to the complexity of the college president's job. The imminent changing of guards due to retirement is also a cause for concern. Higher education institutions need to have a succession plan for a new generation of dynamic and transformational college presidents (Jackson, 2017).

Transactional and Transformational Leadership in College Presidency

Transactional and transformational leadership are the two opposing concepts upon which most of the discussion on presidential leadership is based. The transactionalists emphasize collegial leadership based upon consensus and suggest that presidents should not aspire to change their colleges, but rather renew them (Bensimon, Neuman, & Birnbaum, 1989; Birnbaum, 1988, 1992; Cohen & March, 1986). Cohen and March (1986) labeled colleges as "organized anarchies (p. xiv)." They described the college president as an individual who is unlikely to be able to make a significant difference in the history of his/her institution because of the restraints on his/her authority. In their view, expecting so much from a college president is akin to believing in magic. Birnbaum (1992) argued that transformational leadership as proposed by Burns (1978) and Bass (1985) is an anomaly in higher education because academic institutions are shaped by their history and culture rather than an omnipotent leader whose attempts at transforming the college would destabilize rather than lead to positive change in the system. Bensimon et al. (1989) asserted that transactional leadership plays a greater role than transformational leadership in higher education presidential leadership and suggested that the hierarchical nature of transformational leadership may give the president excessive power. In their institutional leadership research, Bensimon et al. found that colleges going through a crisis

described their presidents as transformational; however, Birnbaum explained that such presidents were good leaders who changed their institutions through effective transactional, rather than transformational, leadership skills.

The transformationalists believe that a college president can indeed make a positive and lasting change in the life of his or her institution (Fisher, 1994; Fisher & Koch, 1996; Kerr, 1984). Kerr (1984) recommended that the most urgent concern of the agenda of higher education is to strengthen presidential leadership. Fisher and Koch (1996) rejected the collegial presidential leadership style of the transactionalists. The university governance structure requires the trustees to appoint a president and to subsequently work with him or her to run the institution. Once the president is appointed, the leadership mantle for the college rests on his or her shoulders. Transformational leadership legitimizes the president's authority to operate effectively. Fisher placed the responsibility for the success of the college president on the board of trustees. It is the duty of the board to provide effective operating premises for the president before the hard times come. He distinguished between the characteristics of transactional (collegial), and transformational college presidents in this manner: "The transformational president is more distant, more decisive, more assertive, and more visionary; the transactional president is more collaborative, less decisive, less assertive, and more personally engaged in institutional affairs" (p. 55).

Furthermore, Fisher and Koch (1996) argued that transactional leadership is unlikely to stimulate the kind of extraordinary performance from followers for the period of time necessary for transformation to occur. They cited the examples of historic college presidents such as Eliot of Harvard, Hutchins of Chicago, Hannah of Michigan State, and Wells of Indiana, who were instrumental in changing the directions of their institutions towards excellence and renown.

They noted that a college like Harvard, on its way up, was led by "the strongest presidents with the strongest prerogatives in the history of American higher education" (Fisher & Koch, 1996, p. 13). While a college president could use transactional leadership skills on occasion, only transformational leadership skills have been empirically proven to bring any significant kind of change to an institution. Transactional presidents are only good for institutions without serious problems who are content with the status quo. Fisher and Koch lamented that transactional leadership in the higher education presidency would only lead to stagnation and lack of academic purpose on American campuses.

In a Delphi study of 36 college presidents from both private and public higher accredited institutions in the United States, Basham (2012a) sought to determine whether transactional or transformational leadership has been or can be effective. The majority of Basham's (2012a) presidents in the study described themselves as transformational leaders who would like to see change in their institutions. The major challenges to change were identified as traditional institutional structures and culture and resistant faculty. This is consistent with the ACE (2017) findings that 45% of presidents were challenged by faculty resistance to change, next to financial concerns (see Table 1). The presidents in the Delphi study also complained that loss of funding from the government was a challenge to institutional achievement of educational purpose. Presidents had to utilize and balance both transactional and transformational leadership styles in order to ensure the desired change for their campuses. In the second aspect of the Delphi study, Basham (2012b) examined the transformational leadership characteristics necessary for the 21st century college president. The majority of the presidents agreed that a transformational college president must be authentic, passionately committed to the cause of his institution, and must demonstrate competence in knowledge, leadership skills, and technical expertise.

Mattar (2016) conducted a qualitative study to determine the leadership style of an effective college leader in Lebanon. She interviewed 10 employees (eight faculty and two staff members) of the university who had been there for eight years, two years before the president was appointed. Using the Kouzes and Posner (2012) leadership inventory, she probed for the transformational leadership practices of the Lebanese college president. The respondents scored the leader very highly in his ability to (a) model the way, b) inspire a shared vision, (c) challenge the process, (d) enable others to act, and (e) encourage the hearts of his followers. They described the president as a charismatic leader who had a vision for the school which he communicated to his leadership team and executed with skill and competence. He took a failing regional college and put the programs in place to move the school forward, all the while creating a collaborative and friendly work environment for his constituents. In six years, he more than doubled the enrollment and brought the institution to national prominence through the students' academic excellence, especially in science and engineering. However, the interviewees also reported the president's non-transformational behaviors such as quick temper and nepotism, which Mattar (2016) explained is somewhat acceptable in Lebanon because of the culture and political climate.

Few doctoral dissertations explored the efficacy of transformational leadership practices of college presidents (Barrows, 2016; Daas, 2013; Lawson-Graves, 2012). In a quantitative study of presidents of selected Christian colleges, Barrows (2016) examined the correlation between the presidents' transformational leadership traits and their fund-raising success. There was a significant correlation between the practice of individual consideration and fundraising effectiveness ($r = .445$, $p = .049$), reaching the .05 significance level. Barrows study also found

that the leadership practices of individual consideration and management-by-exception (passive) combined to account for 37% of the variance in fundraising success.

Daas' (2013) qualitative single-site exemplar study gave an in-depth account of the presidential leadership of Charles M. Vest of MIT—the second longest presidency in the Institute's history. Vest and his leadership team transformed MIT from what was once termed "The Gray Factory on the Charles River" into an architecturally significant place designed by some of the world's leading architects. Daas' dissertation has since been published in book form (Daas, 2015). Lawson-Graves (2012) conducted a descriptive mixed method case study of four female Ivy League presidents, three of whom were the first females to lead their respective institutions. Lawson-Graves found that the four female presidents exhibited strong behaviors in transformational leadership styles; that their careers were influenced by their ability to be creative, both personally and professionally; and that influences from family members, former teachers, colleagues, and their own self-efficacy advanced their efforts to make a difference and effect change.

Negative Transformational Leadership in College Presidency

While knowledge, leadership skills, and technical expertise are necessary characteristics of transformational college presidents, the moral aspect of leadership must not be overlooked. The concept of transformational leadership requires the leader to be morally and ethically good (Bass & Riggio, 2006; Burns, 1978). A leader who can change the system but has no moral values does not qualify to be called a transformational leader. Unfortunately, in recent times, a few transformational college leaders in the United States have fallen from grace, not for lack of skills, but for moral reasons. Former president Nikias of the University of Southern California, former president of Michigan State University, Simon, and former president Spanier of Penn

State University. These college presidents failed to protect students and minors from sexual harassment by university employees. This moral failure led to their untimely resignation and an abrupt end to their erstwhile phenomenal careers (Sanchez & Cummings, 2017; Stripling, 2018a, 2018b).

Graham Spanier was the transformational president of Pennsylvania State University from 1995–2011. He oversaw one of the nation's largest and most comprehensive universities, with 46,000 employees on 24 campuses, an annual budget of $4 billion, and a physical plant of 1,700 buildings. He facilitated $3 billion in philanthropic contributions to Penn State. During his presidency, Spanier set goals to make Penn State the "top student-centered research university in America," and for the university to lead the nation in "the integration of teaching, research, and service. However, in 2011, Jerry Sandusky, a football coach at Penn State, was charged with 40 counts of child molesting, including violations on Penn State's campus. Spanier was charged with concealing child abuse and was sentenced to jail time in 2017 along with two other former administrators of Pennsylvania State University (Penn State University Libraries; Spanier, 2010; Stripling, 2017; Wolverton, 2011, 2012).

Lou Anna Simon, the president of Michigan State University from 2005–2018, was widely regarded as an architect of the institution's rise to national prominence. During her tenure, Simon tripled the university's endowment funds, raised the university's profile as a research institution, and boosted enrollment through recruitment of international students. In 2017, Larry Nassar, a sports physician at MSU from 1997–2016, pleaded guilty to seven charges of sexual assault and was also accused of sexually assaulting more than 150 young girls and women. The outcry against Michigan State administration for concealing the case forced Simon out of the presidency. In 2018, C. L. Max Nikias resigned as president of the University of

Southern California due to another sex scandal in which a former gynecologist at the student health center was accused of harassment and inappropriate contact with patients. Prior to this time, Nikias' presidency had been an extraordinary success. During his eight-year tenure, he raised more than $6 billion in a capital campaign, opening a new campus in record time. Housing for students doubled, classroom space increased by a third, and more than 100 new endowed chairs were created. In the wake of the scandal, the faculty gave a vote of no confidence in Nikias, abruptly ending his otherwise successful presidency (Mack, 2018; Stripling, 2018a, 2018b; Tierney, 2018).

Socioeconomic Implications of Not Attending College

The national success and survival are strategically linked to the quantity as well as quality of the education in the citizenry. In the 21st century, higher education is no longer a bridge to a better life; it has become a gate through which citizens must pass in order to be economically viable (Johnson & Broad, 2017; Razik & Swanson, 2010). Zimpher (2012) asserted that "higher education is now a major economic driver, and colleges and universities are critical components of national and regional workforce development strategies and innovation systems" (p. xiv). In a report from the Center for Education and the Workforce (CEW) at Georgetown University, Carnevale et al. (2013) predicted that there would be 55 million job openings through 2020 due to creation of new jobs (24 million), and baby boomer retirements (31million; see Figure 1). Sixty-five percent of the job opportunities will require post-secondary education. However, in agreement with Hunt's (2008) observation that higher education performance is no longer commensurate with the current economic needs of the nation, the CEW study forecasted that the United States will fall short by five million workers with post-secondary education because the nation is not producing college graduates as fast as the jobs are opening up (Carnevale et al.,

2013). Also, technological advancement and other factors in the workforce has created a need for more educated workers who will fill the new job openings. Approximately five million jobs are expected to be lost to automation by 2020. Therefore, employment opportunities will be reduced for individuals that only possess a high school diploma (Carnevale et al., 2013; Till, Ratcheva, & Zahidi, 2016).

A college education opens doors to a wide range of career opportunities that would not otherwise be available to most individuals; it confers substantially higher earnings on those with credentials than those without (Ma, Pender, & Welch, 2016). Higher education is worth the investment because the average payoff is high; Carnevale, Rose, and Cheah (2011) noted that those with a bachelor's degree earn, over a lifetime, roughly $2.8 million more than those who only graduate from high school. In another CEW report, Carnevale, Jayasundera, and Gulish (2016) documented, through analysis of *Current Population Survey* data from 2007–2016, that 99% of jobs created during the recent economic recovery went to workers with some college education. While workers with high school education or less lost 5.6 million jobs during the Great Recession, they only recovered 1% (800,000) of those jobs (see Table 1 and Figure 2).

Given the prevailing circumstance in the workforce, individuals with only high school diplomas will need additional credentials to be able to function in the current economy. Johnson and Broad (2017) view the job situation as a remarkable opportunity which the higher education sector must seize in order to provide more pathways for the citizenry to obtain the additional credentials necessary for individuals and the nation's economic well-being.

Post Secondary Education required for 65% of Jobs by 2020
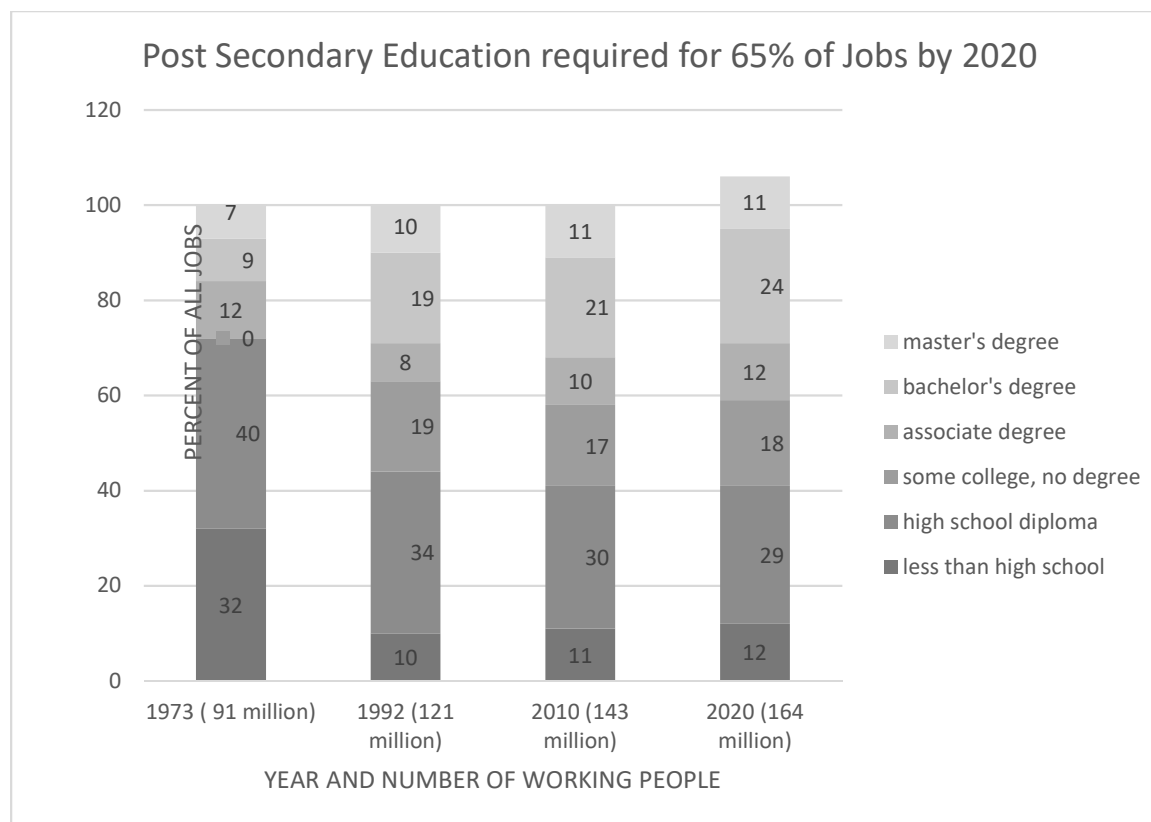
Figure 1. Chart showing that 65% of jobs will require post-secondary education by 2020. Source: Georgetown University Center on Education and the Workforce, *Recovery: Job Growth and Education Requirements through 2020*. Used with permission (see Appendix B).

Table 2

Change in Employment Opportunities Relative to Educational Attainment in the National Workforce in the Recovery

Educational Attainment	Change in Employment Opportunities		
	Recession (Dec. 2007 to Jan 2010)	Recovery (Jan 2010 to Jan 2016)	Net Change (Dec 2007 to Jan 2016)
High school or less	-5,611,000	80,000	-5,531,000
Some college/Associates degree	-1,752,000	3,089,000	1,337,000
Bachelor's degree or higher	187,000	8,424,000	8,611,000
Bachelor's degree	-66,000	4,656,000	4,590,000
Master's degree or higher	253,000	3,768,000	4,021,000
All	-7,176,000	11,593,000	4,417,000

Note. Colum Source: Georgetown University Center on Education and the Workforce analysis of *Current Population Survey* (CPS) data, 2007–2016. Used with permission (see Appendix B).

Change in Employment Opportunies after the Great Recession
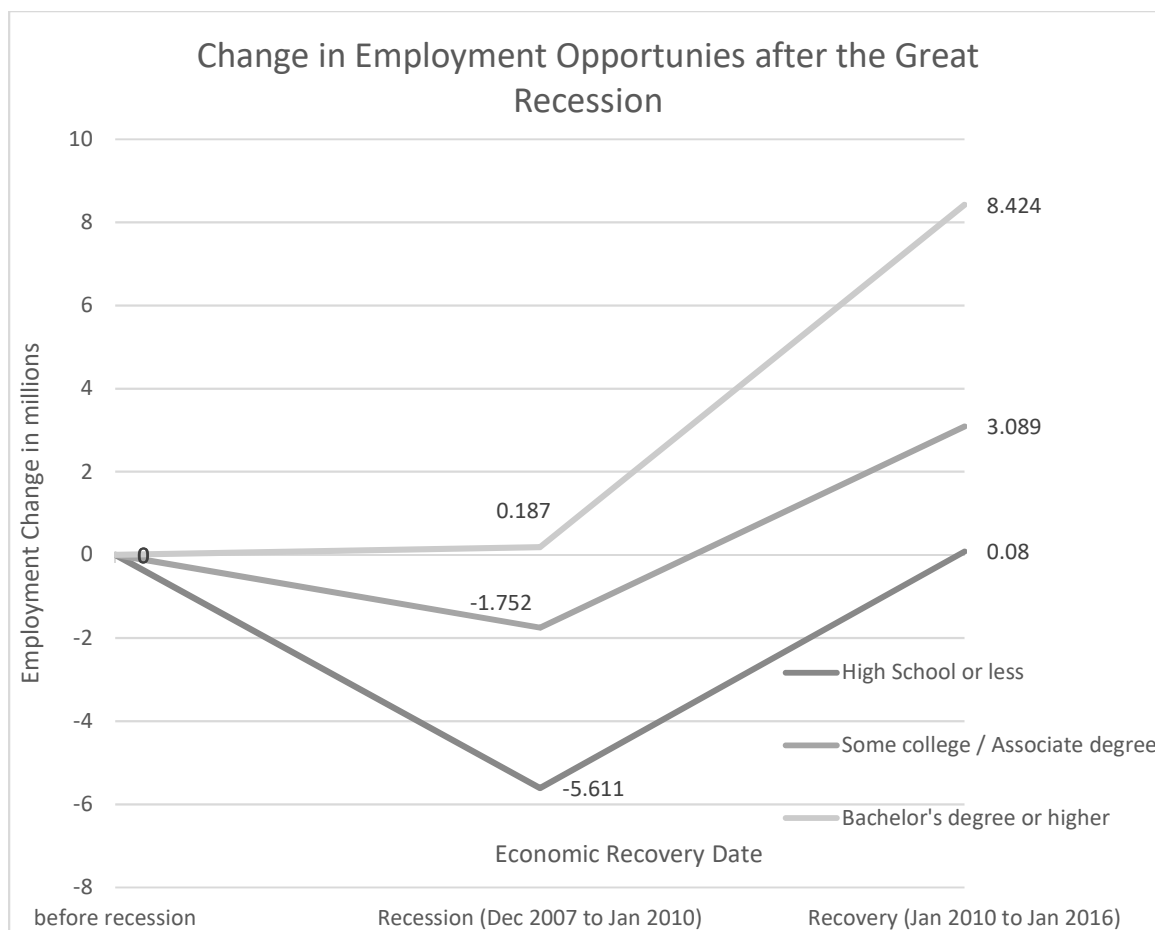
Figure 2. Graph showing the disappearance of high school level jobs from the post-recovery economy. Source: Georgetown University Center on Education and the Workforce, *America's Divided Recovery: College Haves and Have-Nots*. Used with permission (see Appendix B).

Paying for Higher Education

In spite of the advantages of higher education, the enrolment across the nation is disproportionate, with large gaps existing between the least privileged youth and their more affluent peers. Decreasing per-student state funding for public institutions across the nation combined with other forces has generated rapidly rising college prices. Family income has been stagnant in the United States for the past three decades, yet the cost of education continues to rise unabated. This has resulted in increased financial strain and growing reliance on borrowing to pay for college. Although college pays off for most students, too many students do not complete

their programs. The solution is to increase access and affordability of higher education in the nation (Carnevale et al., 2011, 2016; Hunt, 2008; Johnson & Broad, 2017; Ma et al., 2016; Pernsteiner & Martin, 2016).

The Devolution of Liberal Arts Colleges

Although, the terms colleges, universities, academic institutions, and higher education organizations are used interchangeably in this study as belonging to a single type of organization, the liberal arts college is discussed specifically because of its direct relation to this study. Chapman University, the site for the present research study, was originally founded as a liberal arts college by the Disciples of Christ in 1861. Liberal arts colleges are private nonprofit institutions which mostly began under the sponsorship of religious denominations. They are mostly historic with some being more than 200 years old. Several changes in the landscape of higher education such as the advent of large public universities, community colleges, and their enrollment of previously underserved populations reduced the percentage of students attending private colleges from 50% in the 1950s to 19% in 2008. Over the past years, many of the institutions closed or evolved into professional colleges (Bok, 2015; Brown, 2012; Thelin, 2011). Breneman (1990) reported that of the 600 liberal institutions in the nation, only 212 remained by 1990. The downward spiral has continued in the face of the 21st century higher education challenges. Within the past three years, more liberal arts colleges have either closed down, or are looking to merge with other colleges amidst enrolment and fiscal challenges (Jaschik, 2018; Lederman, 2018; Lederman & Jaschik, 2016; Seltzer, 2017a; Wootton, 2016).

The 2015 fall report of Moody's Investors' Service predicted that the rate of small college closures could triple and mergers could double by 2017 compared to the past decade when the rate of closures and mergers was relatively slower (Thomason, 2015; Woodhouse,

2015). In an annual survey conducted for *Inside Higher Ed* by Gallup Organization, 40% of college presidents expect six to 10 colleges to close in 2018. Fifty-six percent of campus CEOs predicted one to five mergers in private colleges, while 55% expected one to five mergers in public colleges; however, 13% of respondents expect more than 10 mergers of private institutions in 2018 (Lederman, 2018). In a case study of struggling liberal art colleges, Brown (2012) noted that struggling colleges had three options: (a) close down, (b) merge with a similar or larger college, or (c) reinvent. The study revealed that many colleges closed due to bankruptcy, loss of accreditation, and inability to continue to fulfill the original mission of the college. Most of the mergers in Brown's (2012) study were unsuccessful, and, especially if a small college merged with a bigger one, the small colleges eventually closed down. Very few of the colleges in the study were able to reinvent their institutions through the intervention of transformational college presidents (Brown, 2012).

In contrast, Wootton (2016) noted that small colleges failed partly due to their small size which allows for little margin of institutional error in times of fiscal crisis. More critically, he suggested that long-term bad management by the board of trustees, high turnover of presidents, and irreparable mistakes which eventually led to diminishing resources were the reasons for the failure of small colleges in the 21st century. While the small colleges have been most affected by the drastic changes currently being experienced in higher education, the bigger universities are not totally immune to an uncertain future. In a recent report for the state of Pennsylvania, RAND corporation recommended mergers of state system universities as one of the possible solutions for long-term sustainability of universities in the state (Goldman, Karam, Stalczynski, & Giglio, 2018). According to an *Inside Higher Ed* survey, fewer than 50% of public university presidents are confident of their institution's financial stability over the next decade (Jaschik &

Lederman, 2016; Lederman, 2018; Lederman & Jaschik, 2017), and 13% of presidents predicted the closure or merging of their own institutions in the next five years (Lederman, 2018). The need for transformational college presidents therefore transcends the liberal arts and small colleges because the challenges of small and large institutions are mostly identical (Janes, 2016; Wootton, 2016).

Prior to Dr. Doti's presidency, Chapman University was a small liberal arts college struggling like most small colleges in the nation. This qualitative case study examined the leadership practices of Dr. Doti that led to the transformation of Chapman University from 1991–2016.

Summary

Higher education institutions in the 21st century are experiencing a fast-paced change that has created an urgent need for transformational college leaders (ACE, 2017; Basham, 2012a, 2012b; Bourgeois, 2016; Freeman et al., 2016; Glassner & Schapiro, 2013; Kezar, 2001; Mattar, 2016; McCaffery, 2010; Pierce, 2015; Sun et al., 2017). Furthermore, more than 50% of college presidents expect to retire in the next five years or less (ACE, 2017). This underscores the need for transformational college presidents who will replace them. The purpose of this study was to explore the transformational leadership practices of Dr. James L. Doti, president emeritus of Chapman University, Orange County, California, using the transformational leadership theory as the theoretical framework. In this chapter, the origin and development of the transformational leadership theory were presented. Burns (1978) originally posited the theory, while Bass (1985) expanded it and further identified four components for measuring transformational leadership: Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individual

Consideration. These four components served as the basis for the research question for the study.

The chapter continued with a discussion of the related literature on higher education presidency, the challenges and complexities of the president's job, and the need for transformational leaders in higher education. The current literature on challenges facing the higher education institutions in the 21st century was highlighted, using the liberal arts colleges as a point of reference to other higher education institutions. Empirical evidence supports the versatility and effectiveness of transformational leadership in the organizational and educational sectors (Avolio & Bass, 1991; Barrick et al., 2015; Bass & Riggio, 2006; Berkovich, 2016; Bush, 2014; Chen et al., 2013; Hallinger, 2003).

In the field of education, principal transformational leadership behaviors have been found to have uniformly positive effects on school culture and climate, student achievement, and teachers' commitment and satisfaction (Allen et al., 2015; Anderson, 2017; Bass & Riggio, 2006; Dutta & Sahney, 2016; Leithwood & Jantzi, 2000; Leithwood & Sun, 2012; McCarley et al., 2014). In higher education positive effects of transformational instructional leadership and job satisfaction have been documented (Balwant, 2016; Bogler et al., 2013; Bolkan & Goodboy, 2009, 2011; Noland & Richards, 2014). However, the literature on transformational leadership characteristics and traits in higher education presidents is scarce, even more so in qualitative studies (Bakar & Mahmood, 2014; Basham, 2012a, 2012b; Jyoti & Bhau, 2015, 2016; Mattar, 2016; Yildiz & Şimşek, 2016). The current study addresses the gap in the qualitative data on transformational leadership behaviors of college presidents.

CHAPTER THREE: METHODS

Overview

This single instrumental case study explores the transformational leadership practices of Dr. James L. Doti, the president emeritus of Chapman University, Orange County, California. The 21st century higher education institutions in the United States are in the midst of a fast-paced change, which is making the jobs of the college presidents more complex and challenging (ACE, 2017). The impact of the change is reverberating throughout the whole higher education system regardless of size or type; however, the smaller colleges have been affected the most, leading to the closure of several liberal arts colleges in the nation (Bok, 2015; Brown, 2012; Janes, 2016; Jaschik, 2018). Transformational leaders are needed in the higher institutions of education so that more colleges are not lost to the tidal wave of change. This study examined the transformational leadership practices of such a college president.

The methodology for this research is qualitative, while the design is case study and the approach is single case instrumental. The focus of inquiry and unit of analysis for the case study is Dr. James Doti. In this chapter, the procedures, research design, data collection, storage, and analysis for the present study are presented. After obtaining all necessary permits, data was collected on site via interviews, document analysis, and observation of archival videos. The trustworthiness and ethical considerations of the study are explicated.

Design

This qualitative study was conducted using the single instrumental case study design. A qualitative case study accommodates a relativist perspective in which the researcher captures the perspectives of different participants and allows their different meanings to illuminate the case being studied (Yin, 2014). Case study design is the preferred method when (a) the research

seeks to answer how or why questions, (b) the researcher has little or no control over behavioral events, and (c) the focus of the inquiry is contemporary rather than entirely historical (Yin, 2014). "A case study is an empirical inquiry that investigates a contemporary phenomenon (the case) in-depth and within a real-world context, especially when the boundaries between phenomenon and context may not be clearly evident" (Yin, 2014, p. 16). Yin's (2014) second definition of case study research addresses the data collection and analysis aspect of the study.

> A case study inquiry copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one the result relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result benefits from the prior development of theoretical propositions to guide data collection and analysis. (Yin, 2014, p. 17)

A single instrumental case study allows the researcher to focus on a particular case in order to develop a general understanding and insight into the phenomenon of interest (Stake, 1995). Not only should the case be a real-life phenomenon, but it must also have some concrete manifestation (Yin, 2014). The single instrumental case study is appropriate to explore the transformational leadership practices of a college president because the selected case is a contemporary real-life situation of a college president whose leadership practices transformed his institution. Yin (2014) identified the case as "the individual person being studied, and the individual is the primary unit of analysis" (p. 31). Therefore, information about the relevant individual was collected. The case is bounded by distinguishing the person who is the unit of analysis (the immediate topic of the case study) from the other participants who make up the context of the study. Bounding the case helps to determine the scope of data collection and distinguish data about the subject of the case (phenomenon) from data external to the case

(context). The unit of analysis for this case study was Dr. Doti, and the context of the study encompassed Chapman University's board of trustees, faculty, administrative staff, and the community of donors.

Daas (2013), English (2014), and Herring (2014) all used the instrumental case study design in their doctoral dissertations on exceptional and transformational leaders. Daas' (2013) study was about the MIT University president who led the institution through a period of architectural change, English's (2014) study was about the leader of a virtual online Christian school, while Herring's (2014) study focused on a transformational school superintendent. Yin (2014) noted that case studies could also be written up as journal articles or books, depending on the audience. Daas (2013) has since published his case study on the transformational leadership of Charles M. Vest, a former president at MIT University, in book form (Daas, 2015).

Research Questions

Central Question: How did Dr. Doti lead the transformation of Chapman University from 1991–2016?

Sub-Questions

SQ1: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that stimulated their sense of purpose and collective mission for Chapman University?

SQ2: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's inspirational and motivational leadership practices?

SQ3: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that intellectually stimulated them to become more creative and solve problems in new ways?

SQ4: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices as a mentor and coach that helped them develop their individual leadership capacities?

Site

The site for the case study research is Chapman University in Orange County, California. Chapman College was originally founded in Woodland, California, by the Disciples of Christ as Hesperian College. It went through a few name changes until it became Chapman College in 1934. In 1954, the college was relocated to its current site in Orange County, California, and was renamed Chapman University in 1991. At the time of this study, Chapman University was the largest private university in Orange County with a total undergraduate and graduate enrollment of 8,305 students. In *U.S. News & World Report's* (2019) list of the best colleges in America, Chapman University ranked fifth among master's comprehensive universities in the Western region, third in best undergraduate teaching, and third in most innovative schools. Chapman University is comprised of four schools and 10 colleges offering 46 undergraduate and 17 graduate majors. Eighty-seven percent of the 919 faculty hold doctoral or terminal degrees. The student–faculty ratio is 14:1 (Booth, 2001; Chapman University, 2017a).

Chapman College became Chapman University in 1991, the same year that Dr. Doti became the president. Over the following 25 years, Dr. Doti transformed the school to match its new name. During his tenure, Dr. Doti added more internal schools, better campus facilities, and high caliber faculty to Chapman University. Under his leadership, Chapman launched schools of physical therapy, business, law, pharmacy, and a college of film and media arts; it also added Brandman University, a separate fully accredited university within the Chapman University system. Dr. Doti inspired hundreds of millions of dollars in donations, doubled the graduation

rate, quadrupled the student body, and quintupled the faculty. Chapman University's expansion

of its physical plant from 13 to 70 buildings is a testament to Dr. Doti's aesthetic

transformational leadership practices. Chapman's endowment has grown by 880%, and the

institution currently boasts assets up to one billion dollars (Whiting, 2016). Dr. Doti's

exceptional leadership at Chapman University no doubt qualifies him to be the focus of inquiry

for this case study.

Yin (2014) suggested that the case selected for single case studies must be unusual and

readily justifiable by the researcher. Unusual cases help illustrate matters that may be

overlooked in typical cases (Stake, 1995). This site was chosen because of the uniqueness of the

case, and the multiple lessons that aspiring college presidents may learn from Dr. Doti's

transformational leadership practices. The case is also critical for the understanding of the

transformational leadership theory in higher education settings. Yin (2014) also defined case

study inquiry "as a technically distinctive situation in which there will be many more variables of

interest than data points" (p. 17), the only data point being the case itself and the variables being

the case study evidence. The researcher, therefore, needs to rely on "multiple sources of

evidence, with data needing to converge in a triangulating fashion" (Yin, 2014, p.17). This

unique case gave the researcher the access to multiple sources of evidence about Dr. Doti's

leadership practices, enabling an in-depth study which yielded valuable information on how a

transformational leader operates successfully. The researcher had no prior relationship with

either Dr. Doti or Chapman University.

Participants

Yin (2014) advised case study researchers to avoid referring to case study participants as

"the sample of cases" so that readers would not confuse case study participants with respondents

in in a quantitative survey. However, Patton (2015) described the sampling procedure for qualitative case as "purposeful sampling" in which the researcher "strategically selects information-rich cases to study, cases that by their nature and substance will illuminate the question being investigated" (p. 265). Dr. Doti, the president emeritus of Chapman University, was selected as the unit of analysis for this case study because of his exceptional leadership practices and the success he achieved in transforming Chapman College into Chapman University. Dr. Doti was the primary participant and the focus of inquiry for the case study. Although Dr. Doti stepped down from the presidency in 2016, he did not retire from Chapman University; rather, he returned to teaching at the George L. Argyros School of Business and Economics at Chapman University (Platt, 2015).

Information about Dr. Doti was collected from the other participants, who were required to have been part of the transformation that occurred during Dr. Doti's 25-year tenure (Yin, 2014). The procedure for selecting the participants was maximum variation sampling (Creswell, 2013) as diverse members of the university community were interviewed. There were 15 participants including (a) Dr. Doti, (b) two trustees, (c) two senior administrative staff members (academic), (d) three senior administrative staff members, (e) two administrative staff members, (f) three faculty from different schools, and (g) two members of the community of donors. Participants were recruited after obtaining permission from the Institutional Review Board (IRB).

The former provost of Chapman University and the former Chief Operations Officer of Chapman University were interviewed as well as two trustees who served as chairmen of the board during Dr. Doti's tenure. Three senior administrative staff members who worked closely with Dr. Doti, three faculty members from different schools, and two members from the

community of donors were also interviewed. All the participants worked with Dr. Doti for about eight to 10 years or more. Dr. Doti consented that his real name be used as the "case" and the unit of analysis for the study. Chapman University in Orange County, California, is the real name of the institution and the context of the study. Although pseudonyms were assigned to the other participants, their actual roles on Dr. Doti's leadership team were reported.

Procedures

Dr. Doti graciously granted the permission (in writing via emails, and verbally, in person) to study his transformational leadership practices that changed Chapman University. Yin (2014) reiterated the importance of protecting human subjects of research especially in case studies, because nearly all case studies deal with human affairs. The study of "a contemporary phenomenon in its real-world context" (Yin, 2014, p.78) requires the researcher to conduct the study according to the ethical practices required in medical research. Therefore, it is vital that the researcher secures IRB approval before proceeding with the study (Yin, 2014).

In order to obtain IRB approval, the researcher prepared informed consent forms which described the nature of the proposed case study, the researcher's and participants' roles, minimal risks involved in the study, and researcher's contact information. The form was used to formally ask the participants to volunteer for the study. The researcher took the necessary precautions to ensure the privacy and confidentiality of the participants by keeping the data in a locked cabinet and using the data only for research purposes. Interview and observation protocols for the study were prepared, and the method of data storage and eventual disposal were delineated. After obtaining the IRB approval from Liberty University, the researcher was required to obtain official permission from Dr. Doti. Upon obtaining IRB approval from Liberty University and the

official approval by president emeritus, Dr. Doti, participants were recruited and data were collected from Chapman University.

The researcher visited Chapman University two times. The first visit took place in December 2017 and the second from mid-September to early October 2018. The purpose of the first visit was to officially meet with Dr. Doti, while actual data collection took place during the second site visit. There was no recruitment of participants nor data collection during the first visit; participant recruitment and data collection only began after the IRB approval from Liberty University and the approval from president emeritus of Chapman University.

The second visit lasted about three and a half weeks in order to facilitate the collection of full evidence for the study and also for the researcher to spend time with the participants. Lincoln and Guba (1985) noted that spending time on the field with the participants enhances the trustworthiness of the study. After IRB approval, and before the second site visit, the researcher started the participant recruitment process via the Internet and telephone. Since the sample size is 10-15, the researcher started by recruiting 18 participants, three people for each participant group. This was to ensure that as many as 10 participants could be recruited should some of them decline the invitation to participate in the study. Of the 18 invitations sent via emails and telephone conversation, only three participants declined. Each potential participant received a recruitment form (Appendix D) and a consent form (Appendix F). The letters were distributed via emails and followed up by phone calls from the researcher. The participants' emails and addresses were obtained from Chapman University website and through snowballing. On the second site visit, participant recruitment was finalized and data were collected. After obtaining participants' consent, interview sessions were set up at the participants' convenience. The researcher scheduled appointments prior to the site visits with the records office and other offices

from which documents were obtained. All the data collection times on site were spread over a period of two to three weeks. Follow-up interviews were conducted as necessary, either face-to-face on site, in writing, or by phone.

Yin (2014) identified six sources of evidence for case study research: (a) documentation, (b) archival records, (c) interviews, (d) direct observations, (e) participant observations, and (f) physical artifacts. Semi-structured interviews, document analysis, and observation of archival videos were instrumental to exploring this case study. All interviews were conducted face-to-face at the site and audio-recorded. Documents were collected from the Frank Mt. Pleasant Archives at the Leatherby Libraries, Chapman University. Archival videos and PowerPoints of earlier "State of the University" addresses were collected from the presidential archives at the office of the president emeritus of Chapman University. All the data collected were coded and kept safe in a locked filing cabinet or in a password-protected computer. Data were duplicated, and the original copies kept in a safe and separate place from others for back up in case of accidental data loss (Merriam & Tisdell, 2016; Patton, 2015). Two recording devices were used for the interviews to guard against equipment failure. Other data collection procedures are included in the data collection section.

The Researcher's Role

Yin (2014) discussed the importance of prior training for the case study researcher before data collection and field work. Yin (2014) suggested that a case study researcher should arrive at the site of the study as a senior researcher who knows the ethical implications of conducting research with human subjects. I became interested in the concept of transformational leadership as a doctoral student of educational leadership at Liberty University. I am from Nigeria, a developing country, where there is a huge need for transformation in the higher education

institutions and an acute need for transformational leaders in education. Most universities in Nigeria have grown worse rather than transformed due to lack of transformational college presidents. However, a closer look at Western universities revealed a different set of challenges that equally require transformational leaders as the higher education institutions navigate the fast-paced change of the 21st century.

I chose to study Dr. Doti's transformational leadership practices because he had successfully overcome the aforementioned challenges confronting the 21st higher education leaders. This study documents his struggles and triumphs and the challenges he overcame to achieve the excellent results that are evident at Chapman University. I did not have any previous direct relationship with a transactional or transformational educational leader. Although this case study is rich with evidence as suggested by Patton (2015) and Yin (2014), my primary reason for choosing to study Dr. Doti's transformational leadership practices was because I believe that the transformation that occurred at Chapman University during his tenure is phenomenal. Therefore, in order to rid my research of bias, I bracketed myself from the study by keeping a personal reflective log in which I documented my feelings and thoughts as I conducted the research (Appendix G). This helped me to analyze my findings free of my personal bias.

As the human instrument for this research study, I was responsible for obtaining all permits necessary for the study, especially IRB approval. All ethical issues were duly considered and implemented. I did not have any prior relationship with Dr. Doti or Chapman University. I sought access to the site respectfully, in order to obtain permission to conduct the research. I kept within the boundaries of time allowed and was mindful of Dr. Doti's schedule as a busy person. After obtaining IRB approval, I made a second site visit for on-site data collection. I was careful to document all observations of archival videos and carefully preserved all interview

transcripts. Bass (1985) asserted that a transformational leader may also exhibit transactional leadership traits; however, for the purposes of this case study, I focused solely on Dr. Doti's transformational leadership practices. Any transactional leadership traits that may have occurred in the data were ignored. I logically analyzed all the data collected and presented a compelling well-written case study report to my dissertation committee and the academic community at large. I maintained confidentiality of the information given by participants and kept all data files in a locked file cabinet and password-protected computer. The participants' position on Dr. Doti's leadership team was reported, and pseudonyms were used for participants. Dr. Doti's name and Chapman University are real names because a case study explores a real-life situation within a bounded system (Creswell, 2013; Yin, 2014).

Data Collection

There are six main sources of evidence for case study research: (a) documentation, (b) archival records, (c) interviews, (d) direct observation, (e) participant observation, and (f) physical artifacts. Data for the present case study were collected via interviews, document analysis, and observation of archival videos. A unique strength of case study research is the opportunity to employ a full variety of evidence. The researcher followed four guiding principles that increased the quality of the case study: (a) triangulating data – which involves the use of multiple sources of data; (b) creating a study database containing all the case study notes, documents, and tabular materials from the field, and the preliminary narratives about the data; (c) maintaining a chain of evidence; and (d) being cautious when using electronic sources of evidence. Following this sequence ensured the validity of the findings (Yin, 2014).

Interviews

Interviews are a critical source of qualitative data (Creswell, 2013; Patton, 2015; Yin 2014), even more so in case study data because most case studies are about human affairs or actions (Yin, 2014). Interviews were semi-structured with open-ended questions that gave the researcher deep insight (Rubin & Rubin, 2011; Weiss, 1994; Yin, 2014) into Dr. Doti's transformational leadership practices. The researcher prepared for fieldwork by obtaining training in data collection procedures such as asking good questions and being an unbiased learner. The researcher also identified the two levels of questioning critical for case study research: Level 1 and Level 2 questions. Level 1 questions are the questions asked of specific interviewees, while Level 2 questions are the case study (or research) questions. Case study interviews require the researcher to operate on both levels of questioning, satisfying the needs of the line of inquiry (Level 2) while simultaneously putting forth friendly, non-threatening, and open-ended Level 1 questions (Yin, 2014).

The researcher prepared three sets of Level 1 interview questions in accordance with the purpose of the study, exploring the transformational leadership practices of a college president (Appendix H). The interview questions sought to find answers to the central research question as well as the four sub-questions (Level 2 questions). The first set of questions was designed for Dr. Doti, the focus of inquiry and the unit of analysis for the case study. The second set of questions was designed for the trustees, staff, and faculty of Chapman University.   The third set of questions was designed for the community of donors. The second and third sets of questions were adapted for each interviewee during the actual interview process. Fifteen interviews were scheduled and successfully conducted. All interviews were at least 60 minutes each. Dr. Doti was interviewed twice for over 60 minutes each. The interviews were recorded with two digital

recorders to guard against equipment failure. The interviews were face-to-face and on-site at Chapman University and its environs. Follow up interviews, when necessary, were conducted at the convenience of the participants.

Standardized open-ended interview questions for Dr. Doti.

1. How did you become the president of Chapman University?

2. Why were you selected for this position?

3. Why did you want the position?

4. How did you prepare for this position?

Questions 14 are Level 1 non-threatening questions which helped the researcher establish rapport with the participant and set the interview in motion (Patton, 2015; Yin, 2014).

5. How did your leadership capacities evolve during your tenure as president?

6. How is your leadership most apparent at Chapman University?

7. What do you consider to be the impact of your leadership on staff and faculty at Chapman?

8. During your 25-year tenure, Chapman experienced great transformation; could you tell me about the process of change?

9. Can you please explain the situation of the college when you became president?

Questions 5–9 addressed the central question of the study: How did Dr. Doti lead the transformation of Chapman University from 1991–2016? This question will give the researcher insight into Dr. Doti's transformational leadership practices, and whether he also employed other styles of leadership during the transformation of Chapman University (Bass, 1985; Bass & Riggio, 2006; Burns, 1978, 2003).

10. What was your vision for Chapman University?

11. How did you cast the vision for your followers (trustees, faculty, and other stakeholders)?

12. How did you secure the buy-in into the vision?

13. What challenges/obstacles did you encounter in your bid to transform the college?

14. How did you overcome the challenges/obstacles?

Questions 10–14 probed SQ1: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that stimulated their sense of purpose and collective mission for Chapman University? Questions 10–14 also probed SQ2: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's inspirational and motivational leadership practices? This question enabled the researcher to gain insight into Dr. Doti's vision for Chapman and how he communicated the vision to his leadership team based on the first two components of Bass' (1985) transformational leadership model (idealized influence and inspirational motivation).

15. How do you foster leadership in others?

Question 15 probed SQ3: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's intellectual leadership practices that intellectually stimulated them to become more creative and solve problems in new ways? This question probed the transformational leadership component, Intellectual Stimulation (Bass, 1985). It also explored how Dr. Doti stimulated his followers intellectually by allowing them to seek solutions to problems from another angle and not criticize them when they made mistakes (Bass & Riggio, 2006).

16. What was your strategy for recruitment and succession?

17. What advice do you have for aspiring college presidents?

Questions 16–17 were designed to probe SQ4: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices as a mentor and coach that helped them develop their individual leadership capacities? These two questions explored how Dr. Doti mentored and coached his followers to prepare them to be able to take on leadership positions in the future based on the fourth component of Bass' (1985) transformational leadership model (individual consideration).

    18. How was your leadership most apparent in the community?

    19. What major stakeholders do you mobilize to support your vision for Chapman?

    20. Can you tell me about the community of donors that support Chapman University?

    21. How did you motivate them to give such large donations?

Questions 18–21 examined how Dr. Doti demonstrated his leadership practices among the stakeholders and the college community at large. This question further probed the central question: How did Dr. Doti lead the transformation of Chapman University from 1991–2016? (Bass 1985; Burns, 1978, 2003).

    22. What do you consider to be the greatest success of your presidency?

    23. What was your greatest disappointment and how did you overcome the situation?

    24. How would you like to be remembered by the Chapman community?

Questions 22–24 are legacy questions used to shed further insight into the central question: How did Dr. Doti lead the transformation of Chapman University from 1991–2016? (Bass, 1985; Burns, 1978, 2003).

    25. What else do you think will be important for me to know about your presidency?

Question 25 was a one-shot, closing question (Patton, 2015). This question allowed Dr. Doti to expand on the previous answers and also to expound on issues that were not covered in the preceding questions.

Standardized open-ended interview questions for trustees, staff, and faculty.

1. How long have you known Dr. Doti? Can you please describe your relationship with him?

2. What was your position on Dr. Doti's leadership team?

3. What is your current position at Chapman University?

Questions 1–3 are Level 1 non-threatening questions which helped the researcher establish rapport with the participant and at the same time set the tone that the interview was based on his or her relationship with Dr. Doti (Patton, 2015; Yin, 2014).

4. How would you describe Dr. Doti's leadership approach and style?

Question 4 probed the central research question and helped the researcher to understand the participant's perception of Dr. Doti's predominant leadership style (Bass, 1985; Burns, 1978, 2003).

5. How would you describe your leadership approach and style?

6. How has Dr. Doti's leadership style shaped yours?

Questions 5–6 probed SQ1 which deals with Bass' (1985) Idealized Influence component of the transformational leadership model. The participants described aspects of Dr. Doti's leadership style that they admired and practiced (Bass & Riggio, 2006).

7. How did Dr. Doti's mentorship prepare you for your current position?

Question 7 probed SQ3 and SQ4. These questions gave the interviewees the opportunity to describe how Dr. Doti helped develop their leadership capacity through Intellectual Stimulation

and Individual Consideration, components of Bass' (1985) and Bass & Riggio's (2006) transformational leadership model.

8. How did Dr. Doti communicate his vision for Chapman University?

9. Did you buy into the vision? Please explain.

Questions 8–9 probed SQ2. The researcher gained insight into how participants perceived Dr. Doti's inspirational motivational leadership practices (Bass, 1985; Bass & Riggio, 2006).

10. How would you describe Chapman University then and now? (Please back up to the time you joined the institution.)

11. What was your role in the transformation process?

12. What was your most rewarding experience as a member of Dr. Doti's team?

Questions 10–12 probed the central research question. These questions helped the researcher understand each participant's perspective of the transformation of Chapman University and Dr. Doti's leadership role during the transformation process (Bass,1985; Burns, 1978, 2003).

13. Please share other thoughts or anecdotes about Dr. Doti that you think would benefit other college presidents.

Question 13 was a one-shot, closing question (Patton, 2015). This question allowed the participant to expand on the previous answers and also to expound on issues that were not covered in the preceding questions.

Standardized open-ended interview questions for the community of donors.

1. How long have you known Dr. Doti? Can you briefly describe your relationship with him?

Question 1 is a Level 1 non-threatening question which helped the researcher establish rapport with the participant and at the same time set the tone that the interview was based on his or her relationship with Dr. Doti (Patton, 2015; Yin, 2014).

2. How would you describe Dr. Doti's leadership style?

Question 2 probed the central research question and helped the researcher to understand the participant's perception of Dr. Doti's predominant leadership style (Bass, 1985; Burns, 1978, 2003).

3. Did you understand Dr. Doti's vision for Chapman University?

4. What aspect of the vision was most compelling for you?

Questions 3 and 4 probed SQ2. The researcher gained insight into how participants perceived Dr. Doti's inspirational motivational leadership practices (Bass, 1985; Bass & Riggio, 2006; Burns, 1978, 2003).

5. How has Dr. Doti's leadership impacted you and the community at large?

Questions 5 probed the SQ1, which deals with Bass' (1985) Idealized Influence component of the transformational leadership model. The participants described how Dr. Doti's leadership positively influenced them (Bass & Riggio, 2006; Burns, 1978, 2003).

6. How would you describe Chapman University then and now? (Back up to the time you became acquainted with the institution).

7. How would you describe the transformation that occurred?

8. What was your role in the transformation process?

9. What part of the transformation do you appreciate the most?

Questions 6–9 probed the central research question. This question helped the researcher understand each participant's perspective of the transformation of Chapman University and Dr. Doti's leadership role during the transformation process (Bass,1985; Burns, 1978, 2003).

10. Please share other thoughts or anecdotes about Dr. Doti that you think would benefit other college presidents.

Question 10 was a one-shot, closing question (Patton, 2015). This question allowed the participant to expand on the previous answers and also to expound on issues that were not covered in the preceding questions.

All interview questions were focused on Dr. Doti's transformational leadership practices. The first set of 27 questions for Dr. Doti was used over two interview sessions. As the interview progressed, the researcher started to ask Level 1 questions with the Level 2 research questions in mind (Yin, 2014). The next set of interview questions probed the central research question, SQ1, SQ2, SQ3, and SQ4 from the perspectives of the trustees, administrative staff and faculty, and the community of donors. The interview questions were reviewed by Liberty University IRB before going to the field. Although the interviews were tape recorded, the researcher wrote down reflexive notes immediately after the interview. The reflections contained descriptive notes about participants' verbal or nonverbal behaviors and other insights provided during the interview. Each interview was labeled or coded, and connected to relevant documents that were directly linked to them for later cross-referencing.

Document Analysis

Documents are important in case study research because they can give insight into specific details that corroborate and augment evidence from other sources (Yin, 2014). Documents provide the researcher information that cannot be observed and stimulate ideas for

interview questions. They reveal the events that took place before the study began and also shed light into aspirations, tensions, assignments, relationships, and decisions that the researcher may not be able to decipher during direct observation (Patton, 2015).

The researcher accessed online documents about Dr. Doti and Chapman University as part of the preliminary work for the research. Archived documents were accessed at the Mt. Frank Pleasant Archives in the Leatherby Libraries at Chapman University. Some documents were accessed from Dr. Doti's post-presidential library, while others were gathered from some of the other participants. The ten sources of documents reviewed included (a)inaugural documents, (b) transcripts of Dr. Doti's speeches, (c) mission and vision statements, (d) copies and updates of the strategic plans, (e) Dr. Doti's letters to the Chapman community, (f) scholarly articles on Chapman University, (g) history of Chapman University. The researcher also examined (h) newspaper and magazine clippings which detailed Dr. Doti as well as Chapman University's interaction and involvement with the Orange County community. (i) A PowerPoint presentation on the development of the physical plant during Dr. Doti's 25-year tenure was examined. (j) Tables, charts, and figures documenting the growth of Chapman University in enrollment, rankings, finances, and the physical plant were reviewed (Patton, 2015).

The researcher determined the accuracy, authenticity, and usefulness of each document collected and established the original purpose for which the document was created (Merriam & Tisdell, 2016; Yin, 2014). This enabled the researcher to interpret the document correctly at the time of analysis. The researcher labeled each document collected and wrote reflective field notes describing the document in the context of the case study. Documents were organized and stored in Word files on a password-protected computer. Physical documents were kept in a locked file cabinet.

Observation of Archival Videos

The researcher watched archival videos of Dr. Doti's "State of the University" addresses. Archival records are similar to documents in that they allow the researcher to corroborate evidence from other sources and gain insight into past events that occurred before the study. Archival records also gave the researcher the opportunity to access information that cannot be directly observed by the researcher. Creswell (2013) and Patton (2015) noted that there are new and modern forms of data collection emerging in qualitative research known as audiovisual materials such as pictures, videos, and compact discs. Since Dr. Doti is not the current president of Chapman University, the researcher observed the archival videos of Dr. Doti's "State of the University" addresses in lieu of direct observation. The videos were accessed from Dr. Doti's post-presidential library and the Chapman University website. The researcher critically observed nine hour-long videos of the "State of the University" addresses using the observation protocol (Appendix I). The researcher also analyzed PowerPoints from the earlier addresses (also accessed from Dr. Doti's post-presidential library) in order to fully understand the chronology of events and how the college was transformed over the 25-year period. The researcher determined the accuracy, authenticity, and usefulness of each archival video and established the original purpose for which the video or picture was created (Merriam & Tisdell, 2016; Yin, 2014).

Data Analysis

Data analysis is the process of making sense of the data in order to find answers to research questions. Data collection and analysis begin with the first interview, the first observation, and the first document. The researcher should start data analysis through field notes and reflective writing and thinking ahead for intensive data analysis while data collection is still in progress (Merriam & Tisdell, 2016; Stake, 1995; Yin, 2014). This was achieved by creating a

case study database which preserved collected data in a retrievable form, enhancing the analytic process and the reliability of the case study. The researcher analyzed the study through rigorous empirical thinking and ample evidence presentation, using the four general strategies of data analysis: (a) relying on theoretical propositions, (b) working the data from the ground up, (c) developing a case description, and (d) examining plausible rival examinations to produce a high-quality analysis based on all the evidence collected (Patton, 2015; Yin, 2014).

Case Study Database

A case study database is a separate and orderly compilation of all the data from the case study, including but not limited to narrative, numeric information, documents, and other materials collected from the field. Narrative and numeric data were electronically stored with word-processing tools. All other materials such as documents and artifacts were stored as part of the database in a locked cabinet holding a mixture of folders. The researcher documented the data collected for the case study in two separate collections: (a) the database and (b) the researcher's report, whether in article, report, or oral form (Merriam & Tisdell, 2016; Patton, 2015; Yin, 2014).

Data Analysis Strategies: Open Coding

The researcher made connections between the codes, patterns, and themes that emerged from the data. Coding involved assigning codes to pieces of data that related to the unit of analysis. Dr. Doti's transformational leadership was the unit of analysis for the case study. Therefore, initial codes from the transcripts were about data on his leadership style and practices. The codes were categorized based on recurring patterns along the data. The researcher wrote side notes or memos on each transcript to describe the emerging patterns that cut across the data. The patterns were further categorized into themes. Critical evaluation of emerging themes

provided insight into the findings from the study (Creswell 2013; Merriam & Tisdell, 2016; Patton, 2015; Yin 2014).

Transcription of Interviews and Identification of Themes

All audio-recorded interviews were transcribed verbatim by an online computer company. Computer-generated transcripts were 90% accurate, and the researcher edited each transcript to full 100% accuracy. The researcher read the field notes and transcripts several times to get an overall understanding of the data. Condensation and summarization techniques were used to process textual data from interviews and documents using Microsoft Word and Excel. The textual data was loaded onto Microsoft Word and codes were generated. The codes were loaded on an Excel sheet for further analysis. The researcher started by finding units of data that were responsive to research questions from each interview transcript using Microsoft Word. These data units were called codes. The codes may be words, phrases, or segments in the data (Lincoln & Guba, 1985). Dr. Doti was the unit of analysis for the case study, therefore the codes were words, phrases, or segments of data that directly related to the research questions about his transformational leadership practices.

The researcher started analysis by comparing one unit of information with the next while "looking for recurring regularities in the data" (Merriam & Tisdell, 2016, p. 203). This process broke the data down into bits, which were coded and assigned into small categories of information (Creswell, 2013). Categories or themes that captured recurring patterns across the dataset were constructed. The categories were separated from the data for further analysis. This process was repeated for each interview transcript. The researcher looked for more recurring patterns as data analysis progressed and modified the emerging categories accordingly.

Documents Analysis

Each document was read several times to scan for units of data related to the research questions or to corroborate previous findings from interview or observation of archival video field notes. The field notes were further analyzed in Microsoft Word and Excel. The units of data were coded into categories; the categories or themes generated from each document analysis were then compared with the categories from interviews and observation of archival videos. The researcher checked for recurring patterns and themes and modified emerging themes accordingly.

Observation of Archival Videos

The field notes and quotes from the observation of selected archival videos were read several times to scan for units of data that were responsive to the research questions or corroborated previous findings from interview or document analysis. The process was repeated for each archival video observed. The field notes were further analyzed in an Excel worksheet for coding, analytic memoing, and identification of patterns and themes (Creswell 2013; Merriam & Tisdell, 2016; Patton, 2015; Yin 2014). The categories or themes generated from observations were compared with the categories from interviews and document analysis. The researcher checked for recurring patterns and themes and modified emerging themes accordingly.

Triangulation of Data

After generating the initial tentative categories, the researcher compared the categories from interview transcripts and field notes from document analysis and observation of archival videos. These categories were reorganized and analyzed until no new information or themes were being generated from the data. The researcher further analyzed all the data to see which

patterns and themes were most recurrent. The data were further categorized and regrouped until the three most dominant themes emerged. Since a qualitative analyst does not have statistical tests to determine if the pattern is significant, the researcher relied on her "own sense making, understandings, intelligence, experience, and judgment" (Patton, 2015, p. 572).

<div align="center">**Trustworthiness**</div>

A qualitative researcher should carefully pay attention to producing trustworthy data which lends credibility to the findings of the study (Lincoln & Guba, 1985). Protocols for increasing trustworthiness include triangulation, member checks, prolonged engagement, negative case analysis, peer expert review, and external audit (Creswell, 2013; Denzin, 1989; Lincoln & Guba, 1985; Patton, 2015; Stake, 1995; Yin, 2014).

Credibility

The researcher allowed the participants to critique the findings and interpretation for the study in order to establish a fit between the respondent's description of Dr. Doti's leadership practices and the inquirer's reconstruction of the same. This process is known as member checks (Creswell, 2013; Lincoln & Guba, 1985); participants were given the opportunity to review the researcher's interpretation of the interview in order to clarify and correct any misrepresentation on the part of the researcher. Case study research inherently deals with a wide variety of evidence. The most important advantage of multiple sources of evidence is the development of converging line of inquiry that makes the findings more convincing and accurate (Yin, 2014). The researcher achieved triangulation by collecting interview data from a range of individuals, observing several archival videos, and reviewing a wide range of documents concerning Dr. Doti's leadership and the transformation of Chapman University.

Dependability and Confirmability

Dependability addresses the researcher's responsibility to ensure that the research process is logical, traceable and well documented (Lincoln & Guba, 1985; Patton, 2015). Confirmability requires the researcher to present the report such that readers can easily link assertions, findings, and interpretations to the data (Lincoln & Guba, 1985; Patton, 2015). External audits allow an external consultant to assess the accuracy of the process and account of the study (Lincoln & Guba, 1985; Miles & Huberman, 1994). The results from this study were audited and confirmed by a Liberty University research consultant.

 Transferability

Transferability addresses the researcher's responsibility to sufficiently describe the case such that readers can establish how similar the case studied is to the case to which the findings might be transferred (Lincoln & Guba, 1985; Patton, 2015). The researcher gave thick, rich descriptions of the site, participants, procedures, data collection, and analysis of the research process such that another researcher could replicate the study.

Ethical Considerations

The researcher obtained IRB permission for the study from Liberty and research permission from Chapman University. The researcher also obtained the consent of all the participants. Participants were fully aware of the purpose of the study and were free to opt out at any time during the research process. The researcher ensured confidentiality of information received from participants. The participants' identities were protected through the use of pseudonyms. Data were kept safe in locked filing cabinets, and electronic files were stored in a password-protected computer. Findings from the research were accurately reported and

documented. The researcher sent a letter of appreciation to participants at the conclusion of the study.

Summary

This qualitative case study research was a single instrumental case study. The focus of the case study was Dr. James L. Doti, whose leadership practices transformed Chapman University from a small liberal arts college into a nationally recognized master's comprehensive university. The researcher obtained IRB approval from Liberty and a research permit from Chapman University. Participants were recruited and the data collected from Chapman University after IRB approval via interviews, document analysis, and observation of archival videos, in accordance with Yin's (2014) case study research protocols.

Narrative data were transcribed and analyzed in Microsoft Word and Excel. Data were coded, labeled, and arranged into small units of data which were aggregated to form categories. Emerging patterns and themes were further categorized from all sources of evidence until saturation was reached and there were fewer categories. Analytic strategies included matching the research questions with the evidence, data manipulation and representation in order to identify emerging patterns and themes.

Trustworthiness was ensured through quality time spent at the site, triangulation of data, member checking, external audits, accurate, thick, rich description of the process, and proper storage and preservation of data. The researcher obtained IRB approval from Liberty and Chapman Universities. All participants gave their consent and were protected by pseudonyms (excepting Dr. Doti, who granted permission to reveal his identity). All collected information was kept confidential and safe in a locked filing cabinet and a password-protected computer.

CHAPTER FOUR: FINDINGS

Overview

This single instrumental case study explores the transformational leadership practices of Dr. James L. Doti, the president emeritus of Chapman University, Orange County, California. This chapter begins with a portrait of all the participants in the study. The data gathered from interviews, document analysis, and observation of archival videos are presented. Data are presented in the form of themes (narrative) and according to the research questions. Data in the form of charts, graphs, and tables can be accessed in the appendices.

The Case

President James L. Doti

Dr. Doti is the president emeritus of Chapman University, Orange County, California. He led the transformation of Chapman from Chapman College to Chapman University during his 25-year tenure from 1991–2016. Dr. Doti is the focus and the unit of analysis for this single instrumental case study. Dr. Doti joined Chapman University in 1974 as a professor of economics. He loved teaching and won several awards in teaching excellence. He served on various committees including the Faculty Personnel Committee (FPC) which was the committee overseeing tenure and promotion. He founded the A. Gary Anderson Center for Economic Research in 1978. Prior to this, he was already having an impact on the Orange County community through his economic forecasts. He was also the dean of the business school and served as acting president of Chapman two different times, first in 1987, and later from 1988-1989. Dr. Doti recalled being mentored by President G. T. Buck Smith, the president of Chapman University from 1977–1988. He worked closely with President Smith and

acknowledged the former president as his mentor in the development of his own fundraising skills.

Another important mentor for him during that period was George L. Argyros, a wealthy businessman and Chapman University alumnus. George Argyros was the chairman of the board of trustees and had much interest in the school of business. He mentored Dr. Doti in leadership skills. Dr. Doti recalled: "I learned from two of the top mentors one could learn from: Buck Smith, especially in fundraising and dealing with people, and George Argyros in terms of leadership skills."

In 1989, Dr. Doti was named as a presidential candidate and interviewed by, but the board of trustees felt he did not have the requisite experience. Instead, they appointed Dr. Allen Koenig as president of Chapman University in 1989; Dr. Koenig had formerly served as president at Emerson College over a 10-year period. Dr. Doti returned to the faculty in September 1989 and continued to teach economics. Although Koenig's presidency was troubled and came to an abrupt end in 1991, it was during his presidency that the board of trustees approved the name change from Chapman College to Chapman University. In his 2013 "State of the University" address, Dr. Doti paid tribute to the late Dr. Koenig: "My predecessor, President Koenig, had a short-lived presidency. But during his presidency, there was a paradigm shift because he began thinking about Chapman not as a small liberal arts school, but as a comprehensive university."

Upon Koenig's resignation, the board voted that Dr. Doti become the president of Chapman University, and he accepted the call to duty in July 1991. Dr. Doti was inaugurated as the 12th president of Chapman University on April 30, 1992. He was the first president to be

chosen from the faculty and not as an alumnus of the college. Dr. Doti embraced his call with enthusiasm, evident in his inaugural address:

> Today, as we inaugurate a new era, we recognize that we are special and that we are needed. Our future is bright because our past has been worthy. Join me as we move forward to build a university of national prominence.

When Dr. Doti stepped down from the presidency in 2016, his vision for Chapman to become a university of national prominence had been fulfilled. Chapman University had climbed to number seven in the *U.S. News & World Report*'s ranking of master's comprehensive universities in the Western region.

Participants

There were 15 participants including Dr. Doti, 12 members of his leadership team, and two people from the community of donors. Ten of the participants were male and five were female. Their ages ranged from 50–84. All the participants except Dr. Doti were given pseudonyms. All participants are Caucasian except for Arman and Tom, who are both from the Middle East. The participants fondly referred to Dr. Doti as "Jim."

Dr. James (Jim) L. Doti

Dr. Doti is the president emeritus of Chapman University, Orange County, California. He led the transformation of Chapman from Chapman College to Chapman University during his 25- year tenure from 1991–2016. Dr. Doti is the primary participant, the focus and the unit of analysis for this study. He is 72 years old. Dr. Doti joined Chapman University in 1974 as a faculty member. Prior to becoming president, he had served as a professor of economics, won several awards for teaching excellence, served as dean of the business school, founded the A. Gary Anderson center for economic research, and was already having an impact on the Orange

County community through his economic forecasts. He was the interim president of Chapman College in 1987 and 1988. Dr. Doti is about 5'5" tall, gentle mannered, soft spoken, and exudes a quiet confidence; he seems to always have a benevolent smile on his face. He has keen sharp eyes and reads without glasses. He is quite agile for his age. The participants fondly referred to him as a renaissance man. An academician, a professor of economics, whose primary passion is teaching, Dr. Doti has written textbooks and storybooks for children. He runs marathons, climbs mountains, and maintains a daily regimen of running with his dog every morning. He is also an avid reader, conversant with movies, loves theater, and acted and danced on stage for Chapman events.

Dr. Doti retired from the presidency in 2016 and returned to the Argyros School of Business to further fulfill his primary passion of teaching. At the conclusion of the first interview, Dr. Doti reflected on his relationship with his leadership team:

> So, what do I think will be important to know about my presidency? The key thing is a realization that the presidency is not all that it's cracked up to be. Sure, the presidency allows one to have a greater influence on the vision, if one is successful at communicating it. But the thing to know about my presidency is that, I was only one leader among many.

William

William is chairman emeritus of the board of trustees of Chapman University. He is a successful businessman about 84 years old. He had been on the board of Chapman before Dr. Doti became president in 1991. He has known Dr. Doti from the time he became a board member and Dr. Doti was a professor, approximately 33 years. William was chairman of the trustees for 12 of Dr. Doti's 25-year tenure. He is currently the chairman of the trusteeship and

by-laws committee. In addition to being a trustee, William was also a major community donor who had some of the buildings on Chapman campus named in his honor. He talked about Dr. Doti's fitness for the presidency:

> He's got his PhD, he's highly educated, incredibly intelligent but also very incisive. He has the stature, educational stature, he also has what we call time and grade. That is, he was a teacher, he was a dean, he was an acting president.

Solomon

Solomon is also a chairman emeritus on the board of trustees of Chapman University. He had been a trustee before Dr. Doti became president in 1991 and has known Dr. Doti for over 40 years. Solomon took over the chairmanship of the board from William. He also served as chair of many of the board committees especially the building committee for several years. Solomon's passion for Chapman came through in his description of Doti's presidency. He thinks that being a Chapman trustee is one of the greatest things he's done in his life, and that serving with Dr. Doti as president made it all the more special. Just like William, Solomon was not only a trustee, he was also a major community donor. Some of the buildings in Chapman University were named in his honor. What struck me most about Solomon's interview was his memory. He knew the statistics of Chapman's overall and selective rankings in *U.S. News & World Report* off hand. Solomon recalled Dr. Doti's influence in the community: "He is extraordinarily well known. And the same thing in the higher education, other universities check with him on a lot of things. He's extraordinary, he is the best visionary leader in higher education. Nobody is close."

Denali

Denali is a tall man with a loud and hearty laugh and a rich Italian accent. He is the current president of Chapman University and Dr. Doti's successor. He had worked with Dr. Doti

for 12 years. He was the provost and later the chancellor of Chapman University during the second half of Dr. Doti's presidency. He answered the questions with illustrations, stories, and anecdotes. He is also a mountain climber like Dr. Doti. They both have that and a few other things in common. His role as the Chancellor was to transform the academic landscape of the university, which he did with excellence. He explained why he admired Dr. Doti:

> I've never seen him angry once in 10 years. I've never seen him discourteous once in 10 years. So, he's very kind to everybody. He believes that the most important values are respect and integrity and he practiced that on a daily basis. . . respect, respect, respect.

Joseph

Joseph is a mild-mannered, gentle-spoken, and very articulate man in his sixties. He had known Dr. Doti for 24 years. He was hired by Dr. Doti earlier on in his presidency as the vice president of finance and administration and chief financial officer. He later became executive vice-president and chief operating officer of Chapman University. He had a dual role in the transformation of Chapman. First as the chief financial officer, he helped turn the books from red to black, and secondly, he served as the inaugural chancellor of the thriving Brandman University which was formerly known as University College. He gave a clear description of how Dr. Doti worked and noted that he and Dr. Doti have similar leadership styles which made them a great team together. He described Dr. Doti's innovative leadership:

> He's not afraid to do something new and different. He's very entrepreneurial, and he feels comfortable in not being safe and making his decisions based upon what he thinks is the best thing to do, even if there might be a little bit of risk, even it might be a little bit different than what other people do.

Sheila

Sheila is a slim and elegant lady with beautiful blonde hair in her early fifties who serves as the executive vice-president of advancement. She has worked with Dr. Doti for 21 years, which accounts for most of her professional career. She credited Dr. Doti as the person most responsible for her career growth. Sheila went from being the director of special events to being associate vice president of development to being vice president and then executive vice president all during Dr. Doti's tenure. Sheila worked alongside Dr. Doti to promote and raise funds for Chapman University in the community and beyond. In 2000, she oversaw the capital campaign for the college. She and her crew raised $214 million which was more than the projected amount of $160 million. She aptly described Dr. Doti's transformational leadership:

> Jim would never be satisfied. It's like, okay, what can we do bigger, what can we do
> better, how can we be finer, how can we improve? You know, it's kind of a constant state
> of innovation and change, and not change for change sake, but change to better our
> delivery, our product, better the experience. So, that to me is kind of a hallmark of his
> leadership.

Henry

Henry is a tall, eloquent, and articulate man in his sixties. He is currently the executive vice president and chief operating officer of Chapman University. He thinks the world of Dr. Doti. He was hired to replace Joseph at the inception of Brandman University in 2007. He had known Dr. Doti for over 25 years and worked with him for 10 years. In his current position, he oversees the whole financial structure of Chapman University. Because Henry is involved in higher education management at the national level, he was able to give me some deep insights into how higher education works, and he has a good understanding of the challenges facing

higher education in the nation today. In addition to offering a robust account of Dr. Doti's transformational leadership practices, he discussed the relevance and importance of Dr. Doti's kind of leadership to the current climate of higher education in the nation. Henry also talked about the phenomenal success of Chapman University during Dr. Doti's presidency:

> Chapman University is swimming against the tide and outperforming in almost every area. I don't care what it is, enrollment, fund raising, academic excellence, the recruitment of outstanding faculty, you name it, Chapman did more, better, faster than any of its peers. And I would say that the vast majority of that outperformance is due to Jim.

Howard

Howard is an architect by profession. He is a tall and slim, impeccably dressed man in his early sixties. He is the vice president of campus planning. He worked with Dr. Doti for 15 years. He answered his interview questions using a PowerPoint presentation in which he showed the progression of the growth of the Orange Campus and the history of each building. He described how Dr. Doti was much involved with the campus planning. Howard's role in the transformation process was to implement Dr. Doti's aesthetic plans for the campus. He also discussed ongoing and planned projects for Chapman University, most of which started during Dr. Doti's presidency. He reminisced about Dr. Doti's creativity:

> Jim Doti is, aside from being an economist, often in all of the things that he's kind of known for is that he has a real feel for architecture. And so, he was very much involved on all of our projects to some degree. He was the visionary at the very beginning of the project.

Jacqueline

Jacqueline is a pleasant lady with a beautiful smile in her fifties who speaks with a sonorous voice reminiscent of TV anchors. She is currently the assistant vice president of communications for Chapman University. Prior to that she served as the director of public relations. She is also a Chapman alumnus but not a direct student of Dr. Doti. She had known Dr. Doti for about 40 years and worked with him for about 25 years. She, like Sheila, credited Dr. Doti for the development of her career because Dr. Doti recommended her for all the jobs she held at Chapman. Early on in the presidency, Dr. Doti started a talk show called *The Dialogue* which aired on the local TV stations; in it, he interviewed people in the community while also drawing attention to Chapman University. Jacqueline was the producer of the show. The talk show went on throughout his presidency. In addition to producing the show, Jacqueline was also a faculty member in the communications department. She shared her thoughts about Dr. Doti:

> He has many hobbies, he's an avid reader and in fact, every year he would recommend, books for the students to read over the summer, like his summer reading lists, and then he would recommend films for people to see. He loved films so he could talk to anybody, whether you were a filmmaker or a CEO, he could have a great conversation with you. And I think that's a real secret to his transformational leadership.

Arman

Arman was a foreign student when Dr. Doti was a professor of economics at the business school. He is currently the vice president of finance and controller for Chapman University. Arman had known Dr. Doti for the past 41 years. He was one of the students who worked with Dr. Doti on the early economic forecasts. He had many fond memories of Dr. Doti. He said that

Dr. Doti is the best teacher he ever had. His role in the transformation was to work with the two

chief financial officers to implement Dr. Doti's vision. He formerly worked with Joseph and

now works with Henry. He recalled the excitement on campus when Dr. Doti was appointed as

Chapman president in 1991: "And Jim is one of the few people that when he came in, became

president, he got a standing ovation and when he said I'm going to be leaving the presidency in

Musco Center, he got a standing ovation."

Esther

Esther is about 5'1" tall. She had short hair with a purple streak at the time of the

interview. She is currently the director of the Rodgers Center for Holocaust Education

and the Sala and Aaron Samueli Holocaust Memorial Library. She is also professor of religious

studies and history and holds the Stern Chair in Holocaust Education. She had known Dr. Doti

for six years before he became president and worked with him for the 25 years of his presidency.

Her interview was short and succinct. Her role in the transformation was to put Chapman on the

international stage through the annual middle and high school art and writing contest which

furthers knowledge and memory of the Holocaust and through establishing a multi-faceted

academic program which now includes a minor in Holocaust history, a distinguished speaker

series, and an archive. She started the contest 20 years ago. Two hundred schools from 31 states

and eight countries participated in the 2017 contest. Esther noted that Dr. Doti was very

supportive of her initiatives and helped to raise millions of dollars to establish the Holocaust

Center, the library, and two endowed chairs. She summarized her perception of Dr. Doti's

leadership style:

> I think he proceeded very methodically; he never got discouraged. He took the time to
>
> really build deep personal relationships that made people feel not only that they were

supportive, but that they were really playing a vital role in shaping the university. He didn't just take from potential supporters, he empowered them to become part of the vision.

Brett

Brett is the dean of Chapman's renowned film school. He wears his hair long and is a great story teller. He was formerly the chair of the communications department, but he had a vision to build a film school. He and Dr. Doti raised $52 million for building Marion Knot Studios which houses the Dodge School of Film and Media Arts. He has known Dr. Doti for 37 years, as they were both faculty members under the previous two presidents who preceded Dr. Doti. He has a rich history with Dr. Doti and shared memories of the time they spent fundraising together under President Smith and also during Dr. Doti's presidency. The film school, of which Brett is the founding and current dean, ranks sixth in the nation. He shared memories of their fundraising for Chapman: "So, it works, if you empower people, they will take on leadership roles. So, Jim was very good at empowering people and encouraging them to take on leadership roles."

Tim

Tim is a slim man who is quite agile for his age. He is 70 years old and speaks with a Middle Eastern accent. He is a professor of economics and the director of Gary Anderson Center for Economic Research. Tim met Dr. Doti in 1985 when he joined the Chapman faculty and served as a faculty member in the school of business while Dr. Doti was the dean. They worked together on research projects before Dr. Doti became the president of Chapman. His leadership roles began as the associate dean of the school of business, but he eventually joined the office of the provost and became the associate provost, and later, the vice chancellor. He considered Dr.

Doti a personal friend and mentor. A fellow economist, Tim talked about Dr. Doti's analytic and quantitative abilities: "He dealt with things that are quantifiable because he wanted numbers to show that we are really better. He believed in numbers, and the numbers showed how well we were doing."

Martha

Martha is a cheery and busy elderly lady. She rightly earned her pseudonym for her busyness. Martha had known Dr. Doti for three decades. Martha used to teach at Chapman before Dr. Doti became president, but she left Chapman shortly after that to work for another college. She became a member of Town and Gown, a community group that supports Chapman University, after her retirement in 1998. As past president of Town and Gown, she was an ex-officio member of the board of trustees. Martha identified herself as Dr. Doti's fan. She is truly a fan because she had a lot of Doti memorabilia in her library which she copied and gave to me to corroborate her interview responses. She opened her interview by saying, "Jim Doti is the most amazing man that I have ever known personally."

Varina

Varina is a classy, fashionable, and gentle spoken lady. She had the most beautiful white hair, which was the same color as her pants. Varina was the president of the Women of Chapman, another organization that supports Chapman University. As past president of the Women of Chapman, she was an ex-officio member of the board of trustees. Varina had known Dr. Doti for 12 years since she became a member of the Women of Chapman. The Women of Chapman support Chapman University by organizing bi-monthly events and a big annual fundraiser at the end of the year known as Christmas at the Ritz. The women of Chapman have donated up $14 million in support of Chapman building projects including the Dodge School of

Film, Musco Center, and most recently the Keck Center. Varina aptly captured the essence of Dr. Doti's relationship with his constituents in one short phrase: "Everybody loves Dr. Doti!"

Results

The purpose of this single instrumental case study was to explore the transformational leadership practices of Dr. Doti, president emeritus of Chapman University, Orange County, California. Data were collected via interviews, document analysis, and observation of archival videos.

Interviews

Fifteen participants were interviewed for a total of 24 interview hours. The interviews were transcribed by an online software company. Software-transcribed transcripts were about 90% accurate. The researcher edited the interviews to bring them up to full (100%) accuracy. Participants were introduced in the above section.

Document Analysis

The researcher accessed online documents about Dr. Doti and Chapman University as part of the preliminary work for the research. Archived documents were accessed at the Mt. Frank Pleasant Archives in the Leatherby Libraries at Chapman University. Some documents were accessed from Dr. Doti's post-presidential library, while others were gathered from some of the other participants. The ten sources of documents reviewed included (a) inaugural documents, (b) transcripts of Dr. Doti's speeches, (c) mission and vision statements, (d) copies and updates of the strategic plans, (e) Dr. Doti's letters to the Chapman community, (f) scholarly articles on Chapman University, and (g) history of Chapman University. The researcher also examined (h) newspaper and magazine clippings which detailed Dr. Doti, and Chapman University's interaction and involvement with the Orange County community. (i) A PowerPoint presentation

of the development of the physical plant during Dr. Doti's 25-year tenure was examined. (j)

Tables, charts, and figures documenting the growth of Chapman University in enrollment,

rankings, finances, and the physical plant were also reviewed (Patton, 2015). The documents

were examined according to the research questions. Themes were generated from the field notes

on each document. Findings from the documents are reported in the results.

Observation of Archival Videos

The researcher observed nine, one-hour videos of Dr. Doti's "State of the University"

addresses from 2008–2016. Videos of 2011–2016 were accessed from the Chapman University

website, while those from 2008–2010 were accessed through Dr. Doti's post-presidential library.

PowerPoints of earlier "State of the University" addresses were reviewed as part of the

documents in order to obtain information about the state of the institution earlier in Dr. Doti's

presidency. The "State of the University" addresses were initiated by Dr. Doti at the beginning

of his presidency in 1991. He desired to keep a transparent administration in which all the

constituents, trustees, faculty, administrators, students, and the community were aware of the

state of events at the institution.

The "State of the University" addresses were held in February of every year of Dr. Doti's

tenure at the Memorial Hall in the main administrative building for the college. The addresses

were a major way in which Dr. Doti shared his vision, re-iterated it, and clarified it through the

use of data, graphs, and tables. The events were celebratory in nature as the researcher observed

the last few years of his presidency where the University had already experienced major

transformation and was recording progress on all fronts every year. However, Dr. Doti

explained that in the earlier years when the university struggled, he did not hide the facts; he

used to tell his constituents areas in which Chapman was lagging behind, and he laid out plans on how to improve on such issues.

The "State of the University" addresses were well attended by the trustees, university administrators, faculty, community donors, and other stakeholders. The addresses were also livestreamed so that parents and alumni could watch from various parts of the country and beyond and later archived on the Chapman University website for reference. Many of the participants recalled that the "State of the University" address was the primary way in which Dr. Doti shared his vision for Chapman University with his leadership team. Denali, who has now continued the tradition, recalled:

> He used to you give a state of the university address every February, which I now do. It was a very good public communication of his vision. He was an excellent public speaker so his presentations were always incredibly well-tailored, just like he is, absolutely impeccable.

Henry stated, "Then Jim, every single year would deliver what we refer to as the state of the university address. It was a one-year survey of success."

Dr. Doti's "State of the University" address had a structure to it. The address lasted for an hour in which he presented 150-200 PowerPoint slides as he talked. He would start with success stories of achievements of faculty members, students, athletic teams, faculty, and administrative staff. The address was generally laced with humorous slides and anecdotes that the audience looked forward to and enjoyed his jokes. A large part of the address was a systematic, quantitative, and analytic delivery of Dr. Doti's vision using charts, tables, and graphs. He gave annual updates on rankings, student enrollment, and the financial state of the university. He made the vision clear and understandable to his constituents. Henry recalled his

data presentations: "So very clearly, year after year, he would stand in front of broad audiences and share the strategic plan and what we're doing and how we're doing it, the progress."

Dr. Doti's relationship with students, alumni, parents, and the community was an important part of his presidency; this was demonstrated every year as he delivered the "State of the University" address. He presented a student satisfaction survey in which he tracked how satisfied the students were about the university services. He touted their athletic and academic achievements and sometimes invited them to the event for recognition. Towards the end of the "State of the University" address, Dr. Doti recognized Chapman donors who had given generously to Chapman. He especially threw the spotlight on those who were the main donors for whichever project Chapman was working on at that time, such buildings, museums, or athletic centers named for those donors. Finally, he would remember members of the Chapman community who had died within the past year. He would offer very brief tributes to them and then conclude the address with words of appreciation and encouragement for the attendees. Dr. Doti would then invite his constituents for a celebratory dessert at the Attallah Piazza.

Theme Development

Based on the analysis of data from the interviews, documents, and observation of archival videos, three themes emerged that addressed the transformational leadership practices of Dr. Doti. Condensation and summarization techniques were used to process textual data from interviews and documents in Microsoft Word and Excel. The textual data was loaded on Microsoft Word and codes were generated. The codes were loaded on an Excel spreadsheet for further analysis. The researcher started analysis by comparing one unit of information with the next, while "looking for recurring regularities in the data" (Merriam & Tisdell, 2016, p. 203). This process broke the data down into bits, which were coded and assigned into small categories

of information (Creswell, 2013). Categories or themes that captured recurring patterns across the dataset were constructed. The categories were separated from the data for further analysis. This process was repeated for each interview transcript and field notes from document analysis and observation of nine archival videos. The researcher looked for more recurring patterns as data analysis progressed and modified the emerging categories accordingly (Appendix K).

All three themes were present in the three datasets. The three themes support the purpose of the study and also address the research questions. The data revealed Dr. Doti as a hardworking executive who had a laser-focused vision for changing Chapman College into Chapman University. He had a winsome personality and was much beloved by his constituents. Dr. Doti dreamed big, and so his vision was expensive to achieve. However, he was entrepreneurial in his leadership approach. Dr. Doti turned the failing finances of the college around and raised millions of dollars to fund his vision. He built a competent leadership team who helped him implement the vision.

The three themes that emerged, therefore, are as follows:

Dr. Doti's Compelling Vision

Dr. Doti's Personal Charisma

Dr. Doti's Financial Acumen

These findings support the transformational leadership theory of Burns (1978) and Bass' (1985) attributes of a transformational leader. Bass' (1985) components of transformational leadership—inspirational motivation and idealized influence—are the most dominant of Dr. Doti's transformational leadership attributes. His long-term service which ultimately led to the change supports Burn's (1978) model of a transformational leader. What differentiates this study from Burns' (1978) and Bass' (1985) theory is the strong emphasis on Dr. Doti's financial

management skills, without which the transformation would not have occurred. However, this aspect of the findings confirms the literature that generating finances and budgetary issues constitute the number one challenge for college presidents.

Dr. Doti's Compelling Vision

Having been at Chapman for 18 years before becoming the president, Dr. Doti understood the institution's strengths and its weaknesses; most importantly, he had come to love the liberal arts college. Before he became the president, he had been incubating a vision for Chapman which he felt he could have a role in bringing to fruition. When Dr. Doti assumed the Chapman presidency in 1991, the school lacked direction, focus, and purpose. There was also confusion as to what Chapman wanted to be. Esther said that in 1985 when she joined the college, "Chapman had a lot of anxiety on what it wanted to become." Dr. Doti recalled the situation of the college during that period:

> The immediate challenge was the fact that there was a great deal of acrimony between the faculty and the president, and the president and the board. There was confusion as to the direction the university; are we going to grow, stay the same, shrink? My predecessor at one time sought to reduce the size of the school and the faculties; this led to confusion and discord.

There was also confusion about the identity of the college. Chapman was entrepreneurial; it was famous for its world campus afloat program and also its adult distance learning centers in many locations. Dr. Doti felt that Chapman not only needed a name change from college to university, but also a grand new cohesive vision for its future.

In his final "State of the University" address, Dr. Doti reiterated his vision for Chapman University. Prior to Dr. Doti's presidency, Chapman's vision was to build a nurturing learning

environment, a place to turn weaker, less prepared students around and give them the opportunity to earn a degree. However, data was problematic in that many students were not being helped as reflected by the fact that only 37% of freshmen went on to graduate four to six years later. *U.S. News & World Report* for Chapman University rankings were among the lowest in independent higher education for mid-sized universities in the West. Chapman's overall ranking was 61/120, peer assessment was 90/120, and student selectivity was 92/120. The low student selectivity was expected since Chapman at that time had an open admission policy, which means virtually anyone who applied would be admitted. The problem was that Chapman was not successful in preparing students for graduation because only 37% of admitted students went on to graduate in four to six years; the rest were either failing or transferring to other colleges.

Chapman had to choose whether to work harder to improve the results or cast an entirely new vision. The board of trustees and the faculty chose to pursue a new vision and direction for the college. President Doti proposed a new vision for Chapman University:

> An institution of stature that would have the kind of faculty and students that would create an exciting vibrant learning community where the learning experience was vibrant, where research was significant and enhanced the classroom experience and that students and faculty work together on joint research projects to make the search for truth more involving.

The new mission statement for the university was based on this vision. Brett was one of the participants who was at Chapman at the beginning of Dr. Doti's presidency. He recognized the need for a cohesive vision for Chapman university:

> One of the things that Jim did that was very shrewd, especially at that time, is he created a mission statement for the university and he sought everybody's input into the exact

wording. And once it was blessed by, probably not everybody, but most people, he then

had it printed and put in the main office of every building on campus. So, now we had a

leader with a cohesive vision that he shared with everybody this, is Chapman's mission,

this is who we are.

Brett also recalled that the mission of Chapman University was printed on the back of every

business card so that the Chapman community could memorize it:

Oh, and another thing you did was you had a business card. The mission was on the back

of the business card. Yeah, there it is. That's Jim's mission statement right in the back of

every card, everybody memorized it.

Brett then read the mission statement from the back of his business card: "*The mission of*

Chapman University is to provide personalized education of distinction that leads to inquiring

ethical and productive lives as global citizens."

Dr. Doti's vision guided every decision and every change that occurred at Chapman. He

recalled that the vision was lofty and difficult to implement with few resources and endowments.

At his first "State of the University" address, which was reproduced in a booklet titled *A Vision*

for Chapman's Future, Dr. Doti announced the first five-year strategic plan designed to

operationalize the mission statement:

The detailed list of strategies includes quantifiable targets that point the way for

Chapman University to become the best "small-big" school in the nation—offering

personalized education where every person in the Chapman community is treated as an

individual and "big" in the sense of offering academic programs in the liberal arts and a

broad range of professional fields of study, including distance-based learning for adult

students. (p. 2)

The transformation of Chapman University unfolded incrementally during Dr. Doti's 25-year tenure with the implementation of each of his five, five-year strategic plans. Each of the strategic plans had a particular focus. Solomon, a trustee, had this to say about the strategic plans:

> We operate on a five-year plan, we spent a lot of time participating in the development of that plan, to make sure that we're all in enthusiastic support of what he's planning. By doing it that way, we are always together. It was well considered and it was always embraced enthusiastically, those series of five-year plans.

Dr. Doti solicited the input of his leadership team in writing the strategic plans; it was a joint five-year project that they all looked forward to. The fact that the strategic plans were publicly communicated and embraced made the documents a "shared vision" of the future. They became less Dr. Doti's plan and more the Chapman community plan. Solomon explained further:

> So, when he would come up, he'd come up with a new school or whatever it was we want to do, the case for it was obvious, his vision was pragmatic. So, it becomes not only Jim Doti's plan but the university's plan and we worked towards its success. Each five-year plan was truly significant, the university has become most of the five-year plans.

Sheila, the executive vice president of advancement, noted that the goals on each strategic plan were met by the end of each of those five years:

> We always had five major initiatives and he didn't deviate for those. We had those five goals, typically he met those goals. And then he set another five, and he just remained extremely laser focused on the task at hand. And so, it just made it crystal clear. You weren't guessing as to what you needed to do.

Henry said that while the strategic plan for other institutions might be forgotten and left on the shelf when the consultant is gone, the case was different at Chapman:

> Here, it was a living thing. It was a discipline, a clear quantified approach to organizational decision making. Jim would go to faculty meetings and he would talk with them about the upcoming new five-year plan, what he's thinking about doing and ask for their feedback. And that was the other thing about Jim that made him extraordinarily successful.

> William highlighted another aspect of the vision. Dr. Doti had a vision for Chapman to

be a university of national stature that could compete with midsized master's comprehensive universities; therefore, his strategic plans included building professional schools and obtaining national accreditation for all the programs at Chapman:

> And we cherished our accreditation and did everything that it took to become highly accredited. But in addition to that, he wanted to get accreditations above and beyond that. Like the highest accreditation for the Law School I think was the ABA. That we also get accredited by the best agencies, the Business School is accredited by the AACSB.

Dr. Doti built a strong leadership team who implemented the strategic plans. They always finished ahead of schedule and were eager to get to work on the following five-year strategic plan. Many of the participants explained that they bought into Dr. Doti's vision because they understood it and also because it was a winning vision that needed to happen. However, one of the participants, Sheila, joined Chapman University in 1998. She admitted that she did not immediately buy into the vision. In this instance, where the data presentations did not suffice, it was Dr. Doti's enthusiasm that drew her in.

Sheila explained further:

> I hear his message, I don't see it completely. I realized there was still a lot of work to do.
> So, I honestly was a little suspect, . . . so, I wouldn't say that I was immediately on board
> with his vision, but I think what is amazing about his conviction is that it doesn't take you
> very long to be around him not to buy-in to that enthusiasm.

Dr. Doti had a sophisticated apparatus for communicating his vision for Chapman. While he did this primarily through the "State of the University" addresses, he also engaged in interpersonal ad hoc promotion of his vision for Chapman. He was able to articulate his vision not only to secure buy-in from his constituents but also to attract donors for the university. His communication outreach also included the local media and a TV show in which he promoted the awareness of Chapman through interviews of businessmen, authors, and other members of the community. In Reem's (2002) *Orange County Metro* article, Jay Boylan, a professor of film and television who co-produced the TV show with Jacqueline recalled their days in the studio:

> We do a weekend TV show and the only way is to do four to five shows in one
> production day. He (Jim) is as sharp for the last one as he is for the first one. He really is
> a natural. (p. 4)

Dr. Doti also wrote hundreds of letters to the Chapman community over his 25-year tenure, to trustees, faculty, and donors. He kept them updated on the progress of Chapman on all fronts. He wrote annual letters to students and personal handwritten letters to Chapman community members to thank them, congratulate them, and celebrate their achievements. He wrote several newspaper and magazine articles and encouraged other faculty members to do so. Dr. Doti listed the stakeholders he mobilized to support his vision:

Whether it was the faculty, the board of trustees, administrators and staff, alumni, church community or Orange County community. I was there with a message for everyone. I would welcome opportunities to tell the Chapman story.

Sheila recalled Dr. Doti's storytelling skills:

To be an exceptional president that inspires assistance from others, one must also be an excellent storyteller. Jim is highly skilled at utilizing stories to communicate the priorities of the University; whether they involve faculty, students or staff. And these stories always helped to articulate the need or the proposal in a much more meaningful way. They moved you in a way that a simple request could not.

Dr. Doti's vision for Chapman was clearly articulated in a way that his constituents could embrace. The strategic plans therefore became the articulation of a shared vision for Chapman and were implemented with speed and accuracy. So, Dr. Doti wrote the vision and made it plain, and all that read it ran with it.

Dr. Doti's Personal Charisma

Charisma is a constellation of personal characteristics that cause an individual to have impact on others—to inspire them, lead them, influence them, or in some other way affect their feelings and behaviors (Riggio, 2004). The participants described Dr. Doti as a charismatic leader who mentored them mostly by example. The participants used words such as magnetic, dynamic, and magical in order to describe Dr. Doti 's personality. They saw him as a people person, someone who loved people and was beloved and admired by his constituents. He is also humorous, eclectic, and has diverse interests.

Henry talked about his personal charisma:

People said of president John Kennedy that he had a certain magnetism that was

qualitative and hard to understand in some set of literature years ago. They used to call it

q factor, this mysterious factor, that magnetism that draws people, you know, Jim

definitely has that. His leadership style includes this magnetism, abundant energy.

Brett called it another name, Clintonesque, meaning Dr. Doti shared President Clinton's ability

to make someone feel like he or she was the only person in the room when he talked to him/her.

Dr. Doti gave people attention; he remembered their names; he made them feel special and let

them know that their contribution was needed for Chapman University to flourish.

The participants mostly admired how Dr. Doti treated everybody with respect and

dignity. That was his leadership mantra, and his leadership team fully recognized that. Many of

the participants confirmed that he demonstrated this in his relationship with his constituents and

even in policy and decision making. Jacqueline reminisced about this aspect of his character:

I've never seen Jim dress anyone down. I've never seen him yell at anybody or lose his

temper or get angry in any way. . . which I think is really admirable because I've been

around him through a lot of situations and no matter who he's dealing with, he never

loses his cool . . . he's completely calm, cool, and collected all the time.

They also admired him for his mentorship, which was mostly by example. Many of the

participants learned a great deal from Dr. Doti just by observing him. His leadership style

influenced them mostly in the area of people skills; they learned how to treat their subordinates

with respect and also to be relational and caring. Other participants learned from his quantitative

data problem-solving skills. Although Dr. Doti was a mentor by default, he was also available to

advise when asked.

Dr. Doti also mentored through teaching. His students remember him as a very thorough teacher who set high standards and had high expectations of them. In Ferrell's (2013) *Orange County Register* article about Dr. Doti, one of his earlier students, Esmael Adibi, who later became a professor of economics at Chapman, recalled that working for Dr. Doti can be tough because he wants things right. He sets high standards and knows what needs to get done. Even in Dr. Doti's mentorship, his teaching abilities came through. Sheila also commented on this aspect of his mentorship noting that Dr. Doti expected any document that came to his table to be free from errors. Sheila stated:

> He expects you to do an excellent job and that when he gets it, it should be free of errors. You know, that's the kind of thing he would say is do my best, which means I'm up here. So, challenge yourself to be at the very top of your game. . . . Don't make the same mistake multiple times. I think that's really helpful. Mentorship is learning from your mistakes and don't repeat them.

Furthermore, the participants referred to Dr. Doti as a man of integrity who inspired his followers and was always very supportive of them. He worked hard and was passionate and enthusiastic; he was a renaissance man and an eclectic leader. Participants commented on Dr. Doti's sincerity, honesty, and integrity which earned him the trust of his constituents. In Reem's (2002) *Orange County Metro* article, George Argyros, the chairman of the board at the beginning of Dr. Doti's presidency, noted the following: "He's (Jim) entrepreneurial; he is very creative in the way he handles people. His word is a bond, if he tells you something, you believe it, he has credibility" (p. 4).

Dr. Doti's honesty in dealing with the faculty and his constituents at large earned him their trust. Tim noted that there was a level of mistrust between the faculty and administration of Chapman College prior to Dr. Doti's presidency, but that was not the situation with Dr. Doti:

> So, when he had some idea in mind, they trusted that it was well conceived and well thought of because they trusted him, and they knew that he would not mislead them or tell them things that are not right or correct. He was always straightforward with them, that's why you know they really trusted him. There was very little friction with the faculty.

Dr. Doti was admired for his great public speaking and the way he connected with people. The participants recalled that he had an almost flawless memory, and he remembered people's names whom he might not have seen in a long time. His memory helped in the delivery of his public speeches; he seldom needed notes. He had a great rapport with the students and other stakeholders. This ability to communicate and care for people gave him a strong connection to his constituents. Joseph noted that when he first interviewed with Dr. Doti:

> The year when I started with him when I was first interviewing . . .we walked across campus to his office. We probably stopped 10 or 15 times for him to talk to students, he knew them, he asked about them, he cared about them, they loved him. That's why I came to the final factor in my decision; what an incredible guy he is, how the students love him and, and you know, how much he loves the students.

Many of the participants referred to Dr. Doti as a renaissance man with eclectic interests. These qualities made him all the more dynamic and interesting to follow. The participants also talked about his sense of humor. Dr. Doti had many other interests including but not limited to mountain climbing, running marathons, cooking, dancing, acting, reading, writing, watching

movies, and raising chickens. He used all of his eclectic abilities to promote Chapman University. In Ferrell's (2013) *Orange County Register* article, Dr. Doti's friend and fellow economics professor, Adibi, aptly described this character trait:

> He can read, watch movies, and suddenly run data and do research and analysis, and go get funding. He can work on 10 different projects at the same time, and all of them come out perfect. I wish I had that ability. (p. 6)

In his annual letter to students, Dr. Doti recommended books for them to read over summer; he would also recommend movies he had recently watched, give a brief overview of the movie, and let them know if the movie was already on DVD. He made the books on his reading list available at the Chapman University bookstore.

Dr. Doti ran marathons and climbed mountains. He has written articles about his mountain climbing in the *Orange County Register*. Dr. Doti ran with the students during their annual 5k runs. Denali, Dr. Doti's successor, is also a mountain climber. Together, they provided a climbing wall in one of the residence halls. They have both on occasion taken students mountain-climbing.

Dr. Doti's Financial Acumen

This was the surprise theme from this study. Virtually all the participants talked about Dr. Doti's financial acumen and fundraising prowess, even though the researcher did not ask any direct questions relating to his financial skills. They described Dr. Doti's fundraising with such terms as exceptional, consummate, prolific, spectacular, good, great, and incredible. Dr. Doti learned fundraising from President Buck Smith under whom he was dean of the school of business. However, some members of the Chapman community were initially worried about Dr. Doti's fundraising abilities:

One of the concerns that people had about Jim becoming president was that he didn't have any fundraising experience that much, "how is he going to do fundraising for Chapman?" . . . He's such a great fundraiser and one of the reasons he's so successful is that he talks from his heart. . . . I think he's raised about five, $600-million for Chapman.

In addition to his exceptional fund-raising abilities, Dr. Doti also demonstrated a strong financial management skill. As a professor of economics with underpinnings in business administration and accounting, Dr. Doti had the necessary understanding of the business and financial aspects of running a large organization, and he maximized that knowledge in the transformation of Chapman University. Dr. Doti acknowledged that his training in financial matters was instrumental to his success. When Dr. Doti became the president, Chapman was in the throes of a financial crisis; he recalled:

I don't know what I would've done really. I would not have been a successful president if I didn't have that underpinning in accounting. Especially in the early years when we were struggling and when I became president, we were losing money. It was critically important to turn that around.

Dr. Doti critically appraised the programs at Chapman and he moved to drop those that were no longer in alignment with the vision of the university, especially a program that was focused on students who were unprepared for college. He worked to change the athletics program from Division II to Division III, freeing up $2 million dollars for academic scholarship funds. He reduced the number of distance learning programs scattered all over the nation, and strategically focused on southern California. His strategies included raising the tuition, raising the SAT scores, and giving scholarships to better prepared students. He raised funds for new buildings and increased faculty salaries. Then the tide slowly started to turn. In his 2002

convocation address, President Doti recalled his conversation with a Chapman trustee just before

he passed away several years prior:

> Bob Lineberger, who served as the chair of the finance committee during Chapman's
>
> most difficult days when our very existence was threatened. He said, "Remember Jim,
>
> Chapman isn't struggling to survive like in the old days; we're just trying to get better
>
> every year."

So, Chapman University put the old days behind and went forward to become a financially

viable institution.

Sheila is the executive vice president for university advancement. She worked directly

with Dr. Doti during the millennium capital campaign. She recalled that raising funds required a

lot of hard work and tenacity:

> Jim is a spectacular fundraiser. In my early days, we worked together, building the
>
> fundraising team and that was done through a tremendous amount of hard work. He was
>
> willing to put a huge portion of his time towards generating support for the university.
>
> I'd say he spent three quarters of his time on the campaign, connecting with donors.

Dr. Doti came up with creative ideas to raise funds for Chapman. In Ferrell's (2013)

Orange County Register article on Dr. Doti, one of the trustees, David Wilson, said about

Chapman, "There isn't a building or a park or a place or a room at Chapman that doesn't have

somebody's name on it" (p. 5). Wilson gave $2 million to have his name on the Holly and David

Wilson field on the Orange campus. He also bought two old street cars to shuttle students to and

from Old Towne, Orange County. Those trolleys were named for his wife: "Holly's Trolleys."

Paul Musco had no prior connection with Chapman. When Dr. Doti met him at a birthday party,

they became fast friends. He attended the Chapman University annual fundraiser, American

Celebration. Musco is of Italian descent.   He loves opera, and he was inspired to build the

Musco Center for the Arts, a state-of-the-art 1000-seater hall for Chapman University. Musco

and his wife helped to generate $78 million dollars for the Marybelle and Sebastian P. Musco

Center for Arts, which opened in 2015 just before Dr. Doti's resignation from the presidency.

Dr. Doti explained how this occurred:

> There is one aspect of fundraising that many people overlook and that is matching a
>
> donor with the need on campus. By getting to know their interests, their family, getting
>
> to know them as people, you get a sense of what they feel is important in our community
>
> and what role the university can play in fulfilling that need.

Another creative way through which Dr. Doti raised funds was the annual fundraiser

dinners called American Celebration (now known as Chapman Celebrates). At this event,

students from the College of Performing Arts showcase their talent. Chapman donors would buy

a table and fill the tables with their friends who could become future donors for Chapman. The

American Celebration events also yielded many new friends for Chapman. Dr. Doti nurtured

these new Chapman friends, encouraging them to become donors to the university. Dr. Doti

thrilled students and donors every year by joining the students in the performance. He first

started out with short sketches, and progressed to dancing at the annual fundraisers. Dr. Doti

reminisced about his performances:

> I would do funny sketches. I'm a pretty good dancer so I would have our dance
>
> department teach me to do this or that. But the real highlight was dancing with Julia
>
> Argyros, the spouse of George Argyros. Julia is a gifted singer and dancer. So, it was a
>
> real treat to perform with her. We had so much fun doing this.

More than $2 million was raised annually from American Celebration. The funds raised from the event were used for student scholarships.

Chapman trustees were a vital part of Dr. Doti's fundraising efforts. They generously gave to Chapman, but they also brought other donors on board. George Argyros, a wealthy businessman, was a Chapman alumnus and chairman of the board at the time Dr. Doti became president. He recruited other businessmen to join the board, and they not only gave generously towards Chapman projects, they also helped to raise funds alongside Dr. Doti. Tim recalled how the trustees were supportive of Dr. Doti's vision and fundraising:

He [Jim] was able to attract a large number of very wealthy trustees who were able to donate a significantly to the university. That's how he was able to build all these beautiful buildings that you see around the campus.

Dr. Doti's knowledge of economics and accounting greatly enhanced his transformational leadership attributes. William, a trustee chairman emeritus and community donor at Chapman University, who was chairman of the board for half of Dr. Doti's tenure, elaborated on Dr. Doti's business skills:

Most presidents that I know don't have any business education and yet a university, even a small one like Chapman, is a business. You need to understand how to read financial statements, you need to understand how best to allocate resources. You need to understand the best cost-effective way to do something. But these are not academic questions, these are business questions. For somebody with Jim's education and experience and background, he understood that.

William remembered that the trustees, being business men enjoyed a robust working relationship with Dr. Doti because he understood their language. Henry is vice president and Chief

Operating Officer at Chapman University. He oversees the finances of the college. He praised

Dr. Doti's business skills from an educator's viewpoint:

> So, he looked hard at the business model that would transform Chapman. And this is part
>
> of his leadership style. He can take an objective, detailed, rigorous and sober look at how
>
> Chapman is functioning as a business. Jim understands budgets. Jim understands
>
> numbers. Jim understands financial statements, and he gets along great with business
>
> people.

> Dr. Doti grew Chapman's accumulated gift support from $4 million to $568.9 million,

the endowment fund from $30 million to $300 million, and the university's net assets from $89.3

million to $1.2 billion in 25 short years (see Appendices M–P).

Charts, Graphs, and Tables

Dr. Doti relied heavily on data to communicate his vision to his constituents. The

researcher collected tables, graphs, and charts which explain the transformation of Chapman

University in data form. As a statistician, Dr. Doti articulated his vision for Chapman through

charts and figures that everyone could readily understand. The figures show the enrollment

growth, *U.S. World & News Report* rankings, exponential growth of the institution's endowment

and net assets, and a map of the Orange Campus before and after Dr. Doti's presidency. These

charts and figures are included in appendices under the following headings:

> Appendix M: Graph showing accumulated gifts to Chapman University
>
> Appendix N: Graph showing endowment growth
>
> Appendix O: Graph showing net plant assets
>
> Appendix P: Graph showing net asset growth
>
> Appendix Q: Table showing enrollment growth

Appendix R: Graph showing climb in Overall Ranking of Chapman University during the Doti years.

Appendix S: Graph showing climb in Overall Student Selectivity Rank of Chapman University during the Doti years.

Appendix T: Graph showing climb in Overall Graduation and Retention Rank of Chapman University during the Doti years.

Appendix U: Graph showing climb in Undergraduate Academic Reputation during the Doti years.

Appendix V: Orange Campus Map – pre-President Doti years

Appendix W: Orange Campus Map – President Doti years

Research Question Responses

The research questions were developed from the transformational leadership theory, which is the theoretical framework for this study. The central question probed the totality of Dr. Doti's leadership practices that led to the transformation of Chapman University. The four sub-questions probed different aspects of his leadership based on the four components of Bass' (1985) transformational leadership model, Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration. In SQ1, based on Idealized Influence, participants identified how Dr. Doti's leadership practices gave the participants a sense of purpose and collective mission for Chapman University. SQ2 was related to Inspirational Motivation; this question explored how Dr. Doti cast a new vision and inspired the participants to come on board with his vision for Chapman University. Intellectual Stimulation was the core component examined in SQ3; the participants identified how Dr. Doti helped them to develop

their leadership capacities. In SQ4 focusing on Individual Consideration, the participants

described how Dr. Doti mentored and coached them.

Central Question

How did Dr. Doti lead the transformation of Chapman University from 1991–2016?

The transformation of Chapman University unfolded as Dr. Doti's competent leadership

team implemented his five, five-year strategic plans.

The Five, Five-Year Strategic Plans

Dr. Doti had planned to serve as Chapman president for 10 years, but according to him,

he "enjoyed the presidency and stayed on." Dr. Doti articulated the vision, which he and his

leadership team used as the basis to produce five, five-point, five-year strategic plans over his

25-year tenure. The successful implementation of each strategic plan led sequentially to the

extraordinary transformation of Chapman University within such a short period. The five

strategic plans were each focused on specific aspects of the transformation of Chapman. The

first one focused on student selectivity and preparedness, which involved raising the SATs and

providing needs-based scholarships to attract academically prepared students. Dr. Doti worked

to change the athletic program of the school from Division II to Division III. This change

allowed for athletic scholarships to be changed to academic scholarships. This move was

initially resisted by the coaches and athletes in that division, but Dr. Doti was able to persuade

and convince the board that it was the right thing for Chapman at that time. In a letter to the

Chapman community in March of 1992, president Doti explained the implications of the change

from Division II to III:

> Unlike our current Division II (Division I baseball) conference, SCIAC does not permit
>
> athletic scholarships. As a result, we will cease giving athletic scholarships to new

student athletes. Current students eligible to receive athletic scholarships, however, will continue to receive them. As these students graduate, we will reallocate athletic scholarships to academic merit and need-based awards.

The second strategic plan, for the 1998–1999 to the 2002–2003 school year, focused on achieving national program accreditations and establishing new schools of law and film. When Dr. Doti proposed the establishment of the law and film schools, there was initial opposition from the trustees and the faculty. Dr. Doti argued that a law school was important for a university of national stature. He recalled that William, the chairman of the board at that time, was very instrumental in securing the buy-in for and raising the funds for the building of the film school. Esther also reminisced about the establishment of the film school:

> And it's certainly due not only to the dean (Brett), but in large part due to Jim that, he articulated a powerful vision of what a film school connected to the liberal arts could be. He was able to articulate that vision to donors.

The millennium capital campaign to raise $160 million for Chapman occurred during the second strategic plan. Sheila worked with Dr. Doti on the campaign to eventually raise $214 million, which surpassed the initial target. She recalled: "He was completely willing to do whatever it took to generate support and interest in the university. That's the thing that I can remember most about his role as president, his undying support for Chapman."

The third strategic plan, for the 2003–2004 to the 20072008 school year, focused on enhancing physical facilities, building capital resources, and improving campus infrastructure. Three buildings significant to the growth of various academic programs were added to Chapman during this period. The old library was demolished and replaced by the magnificent Leatherby Libraries located at the heart of the Orange campus. The Fish Interfaith Center, Wallace Chapel,

and Oliphant Hall for the music school were also completed about the same time as the library. In his 2015 "State of the University" address, Dr. Doti recalled that the school celebrated several 10-year anniversaries because of the buildings that were completed during that time. The library, the chapel, and the music building were dedicated on the same day. It was a season of great accomplishment and satisfaction for Chapman University, although the campus, as Dr. Doti fondly remembered, "was a mess" during those building years. Chapman's distance learning program was re-established as Brandman University, a college for non-traditional students. Also included in the third strategic plan was the completion of the millennium capital campaign and targeted building campaigns.

The fourth strategic plan, for the 20082009 to the 2012–2013 school year, focused on faculty recruitment: a path to national stature. Denali was the provost and Chief Academic Officer at Chapman at that time. He was instrumental in the transformation of the academic landscape of Chapman University and in the hiring of nationally known faculty who were scholars and researchers. He also hired new deans for the different schools and facilitated the hiring of a Nobel laureate for the business school. He explained how this strategy was operationalized:

> My philosophy is always to try to hire the very best people. And Jim has done a terrific job in allowing me to do that. He's providing the resources for me to be able to do it.
>
> And so, we brought in Vernon Smith (Nobel laureate) and a group of faculty next to him.

The fifth strategic plan, for the 2013–2014 to the 2017–2018 school year, was the last strategic plan under President Doti and focused on expanding graduate health science programs. Dr. Doti facilitated the establishment of a new campus which was called Rinker Campus, located in Irvine, California. The Rinker campus became home to Schmid College of Science and Crean

College of Health Sciences. Many health science programs at the graduate level, including pharmacy, would be offered there. Dr. Doti noted that Rinker campus is almost 400,000 square feet of academic space on 20 acres. Also included in the fifth strategic plan was building the Keck Center for Science and Technology which would be the largest and most expensive building in the history of Chapman, costing $130 million for 140,000 sf of academic space. The ground-breaking ceremony for the building occurred after Dr. Doti's resignation as president.

In his September 2015 letter to the Chapman community, Dr. Doti discussed his plans for both projects on his final strategic plan:

> During the last year of my presidency, I look forward to helping complete the critically important initial phase of our Harry and Diane Rinker Health Science Campus. It also is gratifying for me to serve my final year as president in planning our new Center for Science and Technology and its groundbreaking scheduled to take place next April. Our progress with these transformational projects. . . illuminates the remarkable momentum taking place everywhere at Chapman.

At the end of Dr. Doti's 25-year tenure, Chapman University had been totally transformed at all levels. Chapman rankings had improved on all counts, new programs had been added, new faculty had joined the institution, and the endowment had increased ten-fold. The data for the changes in the physical plant, finances, and *U.S. News & World Report* rankings of Chapman University can be found in Appendices O–U. Speaking about the transformation of Chapman in Hicks' (2013) *Orange County Register* article, Denali noted, "He must be credited with transforming a sleepy provincial college into a major force in American education. He has made Chapman a household name in Southern California" (p. 20).

Dr. Doti's succession plan. After 23 years as president of Chapman, Dr. Doti prepared to step down from the position. Having accomplished so much, he wanted to pass the baton to somebody who held a similar vision for Chapman and who could continue to build on the transformation. He found such a person in Denali. When he hired Denali in 2007, he was looking for someone who could grow on the job and eventually replace him. He and Denali worked together for 10 years before he finally passed the baton. All protocols were observed. The board and the faculty from different schools voted to have Denali as the presidential designate. After Dr. Doti's retirement, Denali became the 13th president of Chapman University. Thus, Dr. Doti began planning his succession over 12 years before he left the presidency. This was a surprise finding. The participants continually brought up his succession plan although there was no direct interview question to that effect. Solomon commended Dr. Doti's succession plan:

> Also, the important thing about Jim Doti, we started talking about this transition five to six years ago, maybe more than that, several years, he was thinking ahead. I can't tell you how important it is for a current leader to help the transition to the next leader.

Tim also noted that the school has been stable: "And the new president is doing a good job as well. So, we are doing fine . . . the current president wants to continue, getting the university to a higher level." The transition was successful and Chapman has maintained its stand among high ranking colleges in the West. Denali described his transition into the presidency:

> And I think our succession plan is very rare, because generally speaking, universities like to look outside for the new president because they think, that they are going to get the best possible choice. What they don't understand is when you look outside, you're going

to bring somebody that will need a year just to figure out what's going on. And that's disruptive to the university.

Denali noted that he didn't have to change anything because he was part of creating the programs. So, the university moved faster and did not lose momentum. Dr. Doti thinks that the job of finding a successor is the responsibility of the president or the CEO and not that of the board of trustees. The president has to search from within the university for somebody he could groom to succeed him:

I believe one of the most important responsibilities of a president is to ensure a successful transition to the next president. Many, if not most presidents feel that's the responsibility of the board and only the board. I think that's wrong. I think in higher education, corporations, corporate business leadership, it's critically important for the CEO to ensure that presidential succession goes smoothly.

Dr. Doti personally felt that the person to step into the president's role should be the provost or Chief Academic Officer. He had certain characteristics that he was looking for in a successor:

It was also important for the internal people that I looked at as possible successors would be visionary and would be a people who were forward thinking. And also, that we're respectful of budgetary planning, and nurturing talent themselves. So, it's not only the president that makes sure that that there's succession in place for the president, the chief academic officer, the deans, they should all be looking doing the same thing in their particular units.

Fortunately, Dr. Doti found those virtues in Denali. However, if the president cannot find someone from the college, or if the institution needed a change of direction, then they could consider looking outside:

> And if let's say after all of that, you don't find that person. That's the time you go outside and look for an external candidate, or the institution may be in a situation where it needs to change in the direction, a shift, a pivot, and sometimes when that's needed, it may be optimal, or best to go outside to get someone who will give a completely fresh look to the university.

In Dr. Doti's case, he did not need to look outside because Chapman was going in the right direction, so by choosing Denali internally, the school was able to continue on its forward trajectory. Dr. Doti also noted that this kind of succession plan is rare: "I think we're the only university in the country that I know of that's done that. I don't know of any other."

Dr. Doti's succession plan secured the legacy of his transformational leadership at Chapman University because Denali, his successor, has sustained a transformational environment such that Chapman University continued to thrive beyond Dr. Doti's 25-year tenure.

SQ1

What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that stimulated their sense of purpose and collective mission for Chapman University?

This research sub-question is based on the first of the four components of Bass' (1985) transformational leadership model, Idealized Influence. Idealized influence is interactional in that it measures leaders' behavior and attributions that are made concerning the leader by the

followers. Idealized Influence is sometimes referred to as attributed charisma. These attributes included Dr. Doti's magnetism, people skills, integrity, and humor. His charismatic personality drew people to him and made his constituents want to follow him. Dr. Doti's personal charisma was discussed under the second theme. The other aspect of idealized influence is how Dr. Doti stimulated the participants' sense of purpose and collective mission for Chapman University. As aforementioned, Dr. Doti cast a new vision for Chapman which was the basis for the school's mission statement. He involved his leadership team in crafting the words for the mission statement and after it was accepted by most people, he had the mission statement printed and strategically posted all over the campus. He made the mission Chapman's mission rather than his personal mission.

Dr. Doti had already earned the admiration of the Chapman community before he officially became president. He continued to build upon the existing relationships that he had within the Chapman community. However, his predecessor had left some damage on the morale of the people. Dr. Doti described the immediate situation of the college when he became president as acrimonious. There was a great deal of dissension between the faculty and the former president, the former president and the board. Tim, who served as the liaison officer between the faculty and administration, explained the tense situation from the faculty's viewpoint: "Chapman had problems, particularly the faculty with the previous president that it was not transparent. They were suspicious of the university administrators and that created friction." Dr. Doti started the "State of the University" addresses to rectify the situation. He regularly updated the faculty of happenings in the college through letters to the Chapman community. From the beginning of his presidency, he set out to operate a transparent administration. Tim talked about another existing problem between the former presidents,

administration, and faculty. The faculty felt that the previous administrations had not been fair in giving raises because of perceived feelings of favoritism. Dr. Doti worked to change that perception:

> Jim was the exact opposite, he made everything extremely clear. It was very obvious what he was doing. He did not take sides with some people against others; he treated everybody respectfully and equally. So, he built trust with the faculty.

Although Dr. Doti had become president, he still considered himself part of the faculty. He understood their grievances, and he set out to make the necessary changes. Early in his presidency, in the midst of Chapman's financial struggles, Dr. Doti increased faculty salaries. At the "State of the University" addresses, Dr. Doti would show the AAUP rankings of faculty salaries every year until it moved from the lowest group to the top 10% of faculty salaries in the nation. Dr. Doti recalled:

> So, the first years I would be very open about our low salary rankings. My goal was to convince the faculty that we would make progress over time in the rankings until we were a top tier school on salary and compensation levels for all faculty ranks.

Increasing the faculty salaries sent a profound and lasting message and restored the faculty's trust in the administration, enhancing esprit de corps in the Chapman community.

Another way through which Dr. Doti stimulated his constituents' sense of purpose was by promoting from within. Many of the participants in this study have been with Dr. Doti since the early years of his presidency. Joseph noted that Dr. Doti hired high quality people and then worked hard to retain them. The participants told of how they were promoted several times during Dr. Doti's tenure. Sheila went from being director of special events to being associate vice president of development to being vice president and then to the executive vice president of

advancement over a period of 21 years. Dr. Doti explained that promoting from within sends a clear message to the university community that anyone can rise through the ranks if they do their best. It boosts employees' morale. He called this a succession plan strategy. Dr. Doti stated: "You have to engender a culture within the organization of fluidity, so that people can move to different positions, different departments."

The transformational leader is expected to foster a collective mission and purpose for the organization and reassure others that obstacles can be overcome (Bass & Riggio, 2006). Dr. Doti overcame existing relational obstacles that had dampened the morale on campus, freeing his leadership team to focus on the mission at hand.

SQ2

What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's inspirational and motivational leadership practices?

This sub-question is based on Bass' (1985) second component of transformational leadership model, Inspirational Motivation. This question probed how Dr. Doti motivated the participants by envisioning an exciting future for Chapman University. Dr. Doti's compelling vision is the number one theme generated from this study, illustrating that inspirational motivation is Dr. Doti's strongest transformational leadership attribute. His compelling vision for Chapman was extensively discussed under the first theme earlier in this chapter.

SQ3

What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that intellectually stimulated them to become more creative and solve problems in new ways?

This sub-question is based on the third component of Bass' (1985) transformational leadership model, Intellectual Stimulation. In this question, I probed the participants on how Dr. Doti intellectually stimulated them to look at problems from different angles. Dr. Doti's strategic plans were all out-of-the-box solutions to Chapman University's problems. He had creative and innovative ideas which intellectually challenged members of his leadership team. Henry noted that this is the reason for Chapman's success:

> Higher education is under pressure right now with the claim that the business model has failed. But we have a clear example here at Chapman of debunking all trends and criticism and being not merely successful but in the way that, you know, Jim Collins might write about. So, something unusual is going on. . . I mean even decades ago here in southern California, people were aware that Jim was leading in a way that was different and unusual.

His solutions constantly challenged the status quo, which compelled the leaders to shift their mindsets and consider the problems from a different point of view. In Reem's (2002) *Orange County Metro* article, Paul Frizler, an English professor, recalled Dr. Doti's first year and one of his first suggestions—to raise the student selectivity:

> He proposed the idea of changing the standards. Everyone said, "'We'll lose the students. If we have to raise the standards, we'll price ourselves out.'" Most of the people in the room thought it wasn't a good idea; I thought he was right, and he was. (p. 3)

Joseph also noted that Dr. Doti was willing to take risks and would not allow fear to hold him back from trying innovative ideas. He was entrepreneurial and was not afraid of making mistakes. Joseph noted that it was both innovative and risky for Dr. Doti to change from

Division II to Division III in athletics and build a law school and a film school. But that was not enough; he went further to separate University College from Chapman, starting a brand-new college, Brandman University, for non-traditional students. Joseph pointed out that that had not been done before in higher education. Sheila described how Dr. Doti intellectually stimulated her: Sheila's two immediate bosses had left abruptly at a critical time in her department of university advancement just about the time the millennial campaign started. Dr. Doti asked her to step up to their position. She didn't think she was ready for that responsibility, but Dr. Doti said she would learn. He was right. She did, and is now the executive vice president of university advancement:

> My gosh, I think that he really taught me to sink or swim. I think of his willingness to promote me. . . because when he first came to me and asked me to take on higher and higher leadership roles, I refused. At first, I was like, "I can't do it." And he said, "No, you can." And I was like, "No, I don't think so." And he kind of pushed me to do it, by him placing his confidence in me.

Dr. Doti involved his leadership team in decision making, soliciting their input and listening for their ideas. Dr. Doti was willing to take risks and do new things, he was not afraid to make mistakes, and he gave his leadership team the freedom to think outside the box and explore new ideas without the fear of making mistakes. Joseph identified this leadership trait: "He was very supportive always. When you make a mistake, you figure it out. You make a correction, you move on, and you need to create that kind of environment to make people feel comfortable being entrepreneurial."

President Doti demonstrated strong intellectual stimulation of his leadership team in order for them to be able to implement his vision for Chapman. He was innovative and creative in problem solving and he encouraged his followers to be the same.

SQ4

What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices as a mentor and coach that helped them develop their individual leadership capacities?

This sub-question is based on the fourth component Bass' (1985) transformational leadership model, Individual Consideration. In this sub-question, I probed for Dr. Doti's mentorship and coaching methods and how the participants' leadership capacities were developed in the process. In this section, I will discuss how his mentorship developed the leadership capacity of the participants. Many participants noted that Dr. Doti primarily mentored by being a role model. The participants learned a great deal just by observing him, although he would instruct and advise on various issues if someone directly requested. Henry commented on his mentorship:

> Jim profoundly mentors everybody that has the opportunity to work closely with him by his example. And if you had eyes and watched, you could really learn. If you asked him for advice about something about personal leadership style or something, he would spend time with you and offer it, so he did mentor and he committed time to it.

> Burns (1978) and Bass (1985) proposed that transformational leaders empower their

followers to develop their leadership capacities, and in the process become leaders who can sustain the change or generate their own changes in the system. Dr. Doti was such a leader. Many participants recalled that Dr. Doti did not micromanage them. He gave them a clear vision

of what to do and he let them do it. Brett used to be a micromanager; however, after working with Dr. Doti on the establishment of the film school and becoming the dean, he changed his leadership style:

> I think when I took over, I was too much of a micromanager, I just thought I could do everything better than anybody else, I could write better, and so on. I got over that because I think part of it is interacting with Jim and seeing the kind of freedom, he gave me. He wasn't micromanaging me, that's a leadership lesson from Jim. He gave me the support when I needed it, but leave me alone the rest of the time.

Dr. Doti gave his leadership team the freedom to be innovative. If someone came up with a vision for a school, like Brett had for the film school, or Joseph's for Brandman University, Dr. Doti did not stifle the idea; he supported it. He did everything possible to empower them and make the vision a reality. Joseph shared his experience on how Dr. Doti helped develop his leadership capacity:

> I talked to him about at some point that I'd like to run something myself, and he was very supportive as we talked about separating University College and providing me that opportunity. And so, he not only just mentored me in learning by observation and talking to me about things, you know, and it helped me, but he actually helped create the opportunity for me.

The participants also mentioned that Dr. Doti developed their leadership capacity by giving them the opportunity to attend professional conferences and also encouraged them to volunteer for leadership positions in professional organizations.

Dr. Doti individually recognized people for their achievements and their contributions to Chapman. This was evidenced in the "State of the University" addresses. He threw the spotlight

on faculty, students, administrative staff, board members, and community donors. Denali felt that this leadership behavior is very rare in the academia, and that was one of the reasons he decided to work with Dr. Doti. He explained:

> But if I had to choose one, it is his ability of not putting the spotlight on himself, but putting it on the others. If he's with faculty, it's about the faculty when he's having dinner or lunch with a donor, it's about the donor. That's why he's so successful, it's that not showing how good he is, it's all about the other person, and that's one of his greatest leadership qualities that I admire very much.

A prolific writer, Dr. Doti also recognized people through handwritten notes. Jacqueline commented on this aspect of his transformational leadership:

> He was very good about recognizing people's contributions, whether that would be in official ways like recognizing them with awards or personal letters. He's a chronic letter writer. Like he's constantly writing notes and thank you notes and congratulatory notes or oh hey, I saw you published this paper and that's very good for you. . . or congratulations on your latest promotion.

Dr. Doti explained how he individually considered his constituents:

> Everyone is important in an organization, not just those at a senior level. They can be at the departmental level. Treat everyone with respect, reward them, send notes of encouragement. When you read something about a success, write a handwritten note, not just an email. And if you can see them, that's even better to thank them personally, but sometimes that's not possible.

Dr. Doti demonstrated strong individual consideration of his leaders. He empowered them and gave them the freedom to do great things. He was truly "one leader among many."

Summary

The purpose of this single instrumental case study was to explore the transformational leadership practices of Dr. Doti, president emeritus of Chapman University, Orange County, California.

The themes that emerged from the results are (a) Dr. Doti's Compelling Vision, (b) Dr. Doti's Personal Charisma, and (c) Dr. Doti's Financial Acumen. Dr. Doti had a compelling vision for Chapman University which he articulated in five, five-year strategic plans. He had a winsome personality which endeared him to his constituents. He treated everyone with respect and dignity and built a competent leadership team who implemented his vision for Chapman. When he started his presidency in 1991, Chapman College financially hung on the brink. He turned the finances around through his accounting and economic skills and exceptional fundraising prowess. At the end of his presidency, Chapman's net assets were over $1 billion. He also had a succession plan for the next president of Chapman University. Dr. Doti had great influence on the Orange County community both in the business and governmental sectors. He enjoyed a great relationship with students, alumni, and Chapman University parents.

Dr. Doti was a much-admired transformational leader (idealized influence) who helped his team to develop their own leadership potential through intellectual stimulation, trusting them to handle difficult and new assignments via mentoring and coaching (individual consideration). All these were done in alignment with Dr. Doti's compelling vision for Chapman University (inspirational motivation), resulting in followers being motivated to do more than they originally intended or thought possible (Bass & Riggio, 2006). This study confirms the Bass and Riggio's (2006) definition of transformational leadership that "transformational leaders stimulate and inspire followers to both achieve extraordinary outcomes and, in the process, develop their own

leadership capacity" (p. 5). The findings from this study will contribute to the literature of

transformational leadership behaviors of higher education presidents.

CHAPTER FIVE: CONCLUSION

Overview

This single instrumental case study explores the transformational leadership practices of Dr. James L. Doti, president emeritus of Chapman University, Orange County, California. Dr. Doti led the transformation of Chapman College, a sleepy liberal arts college in southern California, into a mid-sized university of national stature. A summary of the findings from the research is presented at the beginning of this chapter. Empirical and theoretical literature are examined in light of the findings from the research, and the empirical, theoretical, and practical implications of the study are discussed. Furthermore, the practical and methodical implications of the findings in higher education are reviewed. Delimitations and limitations for the study are outlined, and the chapter concludes with recommendations for future research.

Summary of Findings

The findings from this study detailed the transformational leadership practices of Dr. Doti, president emeritus of Chapman University, California. Dr. Doti was the primary participant in the study. Other participants included Dr. Doti's leadership team, trustees, administrative staff, faculty, and community donors. Data were collected via interviews, document analysis, and observation of archival videos. The three themes that emerged from data analysis were (a) Dr. Doti's Compelling Vision, (b) Dr. Doti's Personal Charisma and (c) Dr. Doti's Financial Acumen.

Central Question

How did Dr. Doti lead the transformation of Chapman University from 1991–2016?

Dr. Doti's transformational leadership guided Chapman University out of obscurity into national prominence. Dr. Doti had a compelling vision for Chapman which he articulated in

five, five-year strategic plans. The transformation of Chapman unfolded with the implementation of each strategic plan. At the end of Dr. Doti's 25-year tenure, student selectivity hovered between second and third in the *U.S. News & World Report* rankings. He added six new colleges including law, film, and pharmacy. The Orange Campus was transformed, and two more campuses, Brandman University and Rinker campus, were added. Dr. Doti's financial management skills helped turn Chapman's ailing finances around; he raised funds for student scholarships and various projects for the implementation of his vision for Chapman University. Dr. Doti also chose a successor who worked alongside him for 10 years before eventually assuming the presidency after his retirement.

Sub-Questions

   SQ1: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that stimulated their sense of purpose and collective mission for Chapman University? The participants identified Dr. Doti as a charismatic leader who loved people and who was adored by his constituents. Dr. Doti took decisive steps to address pertinent issues that had caused a breach of trust between the previous administrations and the faculty. He fostered a collaborative atmosphere and mutual trust between his constituents.

   SQ2: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's inspirational and motivational leadership practices? Dr. Doti's compelling vision for Chapman University was articulated through five, five-year strategic plans which spanned his 25-year tenure. The strategic plans were implemented by Dr. Doti's competent leadership team which led to the total transformation of Chapman University in every aspect.

SQ3: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices that intellectually stimulated them to become more creative and solve problems in new ways? Dr. Doti's leadership style constantly challenged the status quo, which compelled his leadership team to consider other ways of solving problems. The participants reported how Dr. Doti challenged them to do new things by trusting them with higher responsibilities even when they thought they were not ready.

SQ4: What did participants (trustees, administrative staff, faculty, and the community of donors) identify as Dr. Doti's leadership practices as a mentor and coach that helped them develop their individual leadership capacities? The participants identified in Dr. Doti a leader who mentored mostly by example and who gave his followers opportunity to take risks without being afraid to make mistakes. He also sent them handwritten notes to celebrate their achievements.

Discussion

The findings from this study validated the empirical and theoretical literature reviewed in Chapter 2 but also included many new discoveries. The findings addressed pertinent issues in the literature concerning higher education presidency in the 21st century and underscored the need for transformational college presidents. The study also validated the transformational leadership theory as proposed by Burns (1978) and Bass (1985), but the results revealed the difference in measuring transformational leadership qualitatively rather than quantitatively.

Empirical Literature

While many quantitative studies have measured the effect of transformational leadership on various school outcomes, there is a paucity of qualitative literature on transformational leadership practices of college presidents. Transactional and transformational leadership are the

two opposing concepts upon which most of the discussion on presidential leadership is based. The transactionalists emphasize collegial leadership based upon consensus and suggest that presidents should not aspire to change their colleges, but rather renew them (Bensimon et al., 1989; Birnbaum, 1988, 1992; Cohen & March,1986). The findings from this study debunk the transactionalists' myth that transformational leadership does not belong in higher education presidency and affirm the transformationalists' view that a college president can indeed make a positive and lasting change in the life of his or her institution (Fisher, 1994; Fisher & Koch, 1996; Kerr, 1984). Dr. Doti was such a transformational college president who left a historic mark, not only on Chapman University, but on the landscape of higher education in the nation.

Furthermore, the findings validated the works of Basham (2012a; 2012b), Daas (2013), and Mattar (2016). What differentiates this study from the rest is that the findings address pertinent issues in the literature concerning higher education presidency in the nation. There is a rarity of transformational presidents in 21st century higher education institutions. The ACE (2017) report shows that the average presidential tenure is 6.5 years. Sherman (2018) noted that a president needs about 10 years' tenure in order to understand the institution enough to develop a vision that can change the system. Bensimon (1993), a transactionalist, noted that new presidents of colleges in crisis will need to be more transformational than transactional and that such presidents will need to commit time to understand the college and its culture in order to lead the transformation of the institution. Dr. Doti had already spent 17 years at Chapman University before he became the president; although he already knew and understood the college, he still had to commit 25 more years to the job for his vision to be accomplished. Dr. Doti's compelling vision for Chapman University was implemented through five, five-year, data-driven, and laser-focused strategic plans. This finding is significant because the ACE (2017) presidents' study

revealed that less than 20% of presidents considered strategic planning to be of importance for the future of their colleges, while only 12% said using institutional research to inform decision making was an area of importance. Gagliardi (2017) noted that for the new generation of presidents to successfully guide their institutions through transformational change, they will have to embrace data-informed decision making strategies.

The ACE (2017) study also revealed that a change of guard is coming to higher presidency. Due to the complex nature of the job, colleges are hiring experienced presidents. Fifty-eight percent of college presidents are over 60 years old, while 11% are 71 years or older. Fifty-four percent of college presidents expect to retire in five years or less (ACE, 2017). However, only 24% of presidents said their institution has a presidential succession plan. Wilde and Finkelstein (2017) and Gluckman (2017) suggested that retirement is not the only reason for the churn in higher education presidency; they blamed firms that search for new presidents, compensation of presidents who are terminated too early for the high turn-over, and relatively shorter tenures of presidents. A surprise finding from this study was the participants' reference to Dr. Doti's succession plan which allowed a smooth transition from him to the next president.

The third theme generated from the study, Dr. Doti's Financial Acumen, is significant because it addresses an issue that the ACE (2017) reported to be the biggest challenge for college presidents. Sixty-one percent of college presidents complained that they "never have enough money." Therefore, 65% of presidents spend the bulk of their time on budgeting and financial management, while 58% spend the most time on fundraising. Twenty-eight percent noted that they were the least prepared for fundraising when they became college presidents (ACE 2017; Cook, 2012). Taylor and Vedder (2016) noted that economics is a popular subject of study for college presidents. Five of the top eight colleges according to *Forbes* ranking had been led by an

economist since the year 2000 and 10% of higher education presidents for the top 75 colleges in the nation are economists, underscoring the need for college presidents who understand finances. Dr. Doti is an economist with underpinnings in accounting and business management. His entrepreneurial skills proved to be a vital asset in transforming Chapman University's finances.

Presidents also worried about enrollment and student's ability to pay for college, especially in public colleges. Forty-one percent of college presidents expected reduction in state funding (ACE, 2017). Although Chapman University is a private college, Dr. Doti actively raised funds towards student scholarships, both merit and needs based, to help students achieve their goals and fulfill their career dreams.

Theoretical Literature

The transformational leadership theory as proposed by Burns (1978) and Bass (1985) was the theoretical framework for this study. Burns' (1978) transactional leadership theory presented the leader and followers as bargainers who would move on to other transactions with other leaders or followers depending on the goods being offered and the need of the buyer. The relationship is essentially short-lived and does not endure long enough for change to happen in the system. Burns' transforming leader transcended the transaction between leader and follower to the leader engaging with the followers, creating a dynamic relationship in which followers are transformed into a "new cadre of leaders" (p. 20).

In contrast to Burns (1978), Bass (1985) suggested that transactional and transformational leadership traits can simultaneously reside in one leader. For the purposes of this study, the researcher focused on Dr. Doti's transformational leadership attributes according to Burns (1978) using the transformational leadership components of Bass' (1985) model as the basis for the research questions. Burns' (1978) transformational leadership theory expected

change in the system over time. Therefore, time is of essence in the operationalization of Burns'
(1978, 2003) transformational leadership model. Bass' (1985) measurement scale, however, is
not dependent on change or time; rather, it is more focused on a leader's behaviors and
followers' satisfaction. Dr. Doti led the transformation of Chapman College, a sleepy liberal arts
college in southern California, into a mid-sized university of national stature. The
transformation occurred over 25 years. Change, or metamorphosis, as required by Burns' (1978)
theory occurred. The Chapman University of today is completely different from Chapman
College in every way. Dr. Doti's transformational leadership is therefore reflective of Burns'
(1978) classic conception of transformational leadership because the change in the system is
measurable and immense.

Burns (1978) identified leadership as a special form of power which may be wielded by
rulers or exercised with purpose in alignment with the motivation of leaders and followers. Dr.
Doti was a leader, not a ruler. This is evident in the participants' recognition of his charismatic
ways and especially his mantra of treating people with respect and dignity. His personal
charisma (idealized influence) was vital to the success of his presidency, being the second theme
of the findings from the study. Although Drucker (2008) argued that personal charisma does not
guarantee effective leadership and that leadership takes hard work rather than a leadership
personality, Dr. Doti combined a winsome personality with hard work (Appendix K) to facilitate
the remarkable transformation of Chapman University.

Burns' (1978) transformational leader is expected to empower his followers to develop
their leadership capacities, and in the process become leaders who can sustain the change or
generate their own changes in the system. Several members of Dr. Doti's leadership team have
generated their own changes within the Chapman University system as reported in Chapter 4.

Dr. Doti's transformational leadership is also adaptable to Bass and Riggio's (2006) definition of transformational leadership that "transformational leaders stimulate and inspire followers to both achieve extraordinary outcomes and, in the process, develop their own leadership capacity" (p. 5). Dr. Doti definitely did this for his leadership team because not only was Chapman changed, the outcomes of the change were extraordinary as revealed in quantifiable data. Since Bass' (1985) theory is an evolution of Burns' 1978 theory, there share many similarities in their transformational leadership models; therefore, the four components of Bass' (1985) transformational leadership model were adapted as the basis for the interview sub-questions.

Implications

The findings from this study revealed how Dr. Doti successfully overcame the prevailing challenges in 21st century higher education to transform Chapman College, a small liberal arts college in southern California, into a mid-sized university of national stature. This study has significant theoretical, empirical, and practical implications for higher education presidency. There are practical implications for boards of trustees, aspiring presidents, policy makers, higher education institutions in the nation as well as in developing countries, higher education stakeholders, and the field of educational leadership at large.

Theoretical Implications

Transformational leadership theory is the most explored and discussed leadership theory in the new millennium and remains an important part of educational leadership and administration research (Berkovich, 2016). Most of the studies on transformational leadership have been quantitative; therefore, there is need for qualitative studies of educational leaders' transformational attributes. Burns (2003) acknowledged Bass' (1985) work on quantitative measurement instruments of transformational leadership but warned that the measurement of

change must be both quantitative and qualitative. To that effect, data for this research work were gathered qualitatively through interviews, document analysis, and observation of archival videos.

For the purposes of this study, the researcher was interested in Dr. Doti's transformational leadership attributes that led to the change that happened over time at Chapman University. The MLQ scale would not have been appropriate for the study because the in-depth understanding of the context for Dr. Doti's transformational leadership practices could not be accessed by correlation. Also, the surprise findings on Dr. Doti's financial acumen and succession plan would not have been revealed. The findings from the study underscore the need for further development and expansion of the transformational leadership theory using qualitative methods.

Empirical Implications

Transformational leadership research in higher education have been mostly quantitative and based on faculty's instructional leadership (Balwant, 2016; Noland & Richards, 2014; Pounder, 2014). Few studies provide in-depth understanding of the context for the transformational leadership practices of presidents of higher educational institutions. The problem is a paucity of qualitative research in the literature that addresses the transformational leadership practices of higher education presidents. The findings from this study will fill a part of this gap in the literature. The study has implications for college presidents in the area of strategic plans, financial management, and succession plans.

Dr. Doti's compelling vision for Chapman University was implemented through five, five-year, data-driven, and laser-focused strategic plans. This is a significant finding from this study because the ACE (2017) report revealed that less than 20% of presidents considered strategic planning to be of importance for the future of their colleges, while only 12% said using

institutional research to inform decision making was an area of importance. The findings from this study show that data-driven decision making, and the five, five-year strategic plans were at the core of the transformation that occurred at Chapman during Dr. Doti's tenure. Seltzer (2017b) noted that presidents who do not value strategic plans nor institutional research are at risk of making of solving problems on a short-term basis. In Seltzer's (2017b) review of the ACE study, Susan Resneck Pierce asserted that a clear set of institutional strategic priorities that are informed by data will realistically guide both financial decisions and fundraising goals.

Beyond his transformational leadership attributes, Dr. Doti demonstrated great financial acumen, and he also had a succession plan for the next president of Chapman, which is a rarity in higher education. These two findings confirmed the higher education literature on institutional financial struggles and mass exodus of aging presidents. When Dr. Doti assumed the presidency of Chapman College in 1991, the school struggled like all other private religious liberal art colleges, but president Doti successfully overcame this challenge using his knowledge of economics and accounting to design a business model that worked for Chapman. He also proactively raised funds for Chapman for his vision to be realized. So, Chapman was able to turn its financial woes into gains. Dr. Doti also raised funds for student scholarships. Taylor and Vedder (2016) reiterated the importance of utilizing economic principles in running a college. According to Dr. Doti, he would not have had such a successful presidency if he had not been an economist, and he suggested that college presidents should learn financial management.

Finally, the major concern in higher education presidency is the looming change of guard due to retiring presidents. The literature revealed that presidential tenure has dropped to 6.5 years and 54% of college presidents are retiring due to old age (ACE, 2017). Sherman (2018) noted that a president needs about 10 years tenure in order to generate change in the institution.

Presidents with only six-year tenures will not be able to set long term goals; rather, they will focus on short-term solutions which may not be as effective for the college. In the ACE (2017) study, only 24% of presidents said their institution had a presidential succession plan for the replacement of outgoing presidents. The imminent mass retirement of older presidents signals the right timing for a new generation of transformational college presidents for the 21st century higher education institutions and underscores the importance of a presidential succession plan. The findings from this case study are significant because qualitative methodology revealed answers that might have been elusive had the research been quantitative.

Practical Implications

The findings from this study have significant implications for higher education presidents, boards of trustees, administrators, faculty, philanthropists, aspiring presidents, higher education institutions in the nation as well as the developing countries, policy makers, higher education stakeholders and the field of educational leadership at large. The findings from this study provided many lessons for pertinent issues in higher education presidency. The ACE (2017) report was filled with problematic data on challenges facing higher education presidents including, but not limited to, insufficient finances and an aging population of presidents who are retiring within the next three years from the time of this study. A more obscure but no less important problem in the data was that less than 20% of presidents think that strategic plans are important for their institutions' future; even more abysmal is that only 12% of presidents make decisions based on institutional research.

Implications for presidents and aspiring presidents. The findings from this study highlighted Dr. Doti's compelling vision for Chapman University which he articulated in five, five-year strategic plans. Twenty-five years of continual focus on the vision led to outstanding

and sustainable results. Dr. Doti's strategic plans were no doubt the secret to the success of his presidency. The ACE (2017) survey revealed that many presidents do not consider strategic plans to be important for the future of their colleges. This data is problematic because according to Seltzer (2017b), presidents who do not have strategic plans or base their decisions on institutional research will only solve problems as they arise.

This problem is not unconnected to the short presidential tenure which is approximately 6.5 years. Sherman (2018) noted that a president needs at least 10 years of tenure to be able to cast a vision for the future of the college and successfully implement it. However, in the same ACE (2017) report, only 47% of presidents of degree-granting institutions said they received a written contract of five years or more when they accepted the job. Three-year contracts were common among community colleges. If the presidential tenure has become so short, presidents will not be motivated to plan for long-term solutions; rather, they will tend to be transactional presidents who only try to maintain the status quo (Bensimon et al., 1989; Birnbaum, 1988, 1992; Cohen & March,1986).

The reason for the short presidential tenures is due to an aging presidential population, many of whom are set to retire in three years. Outgoing presidents should pre-empt this situation by starting a succession plan. Dr. Doti started his own succession plan midway into his 25-year presidency. College presidents who cannot find an internal person to replace them should start the search for a president who they think might take the college in the direction it needs to go. Presidents and boards of trustees should team up to find a successor early and possibly provide a time of overlap where the incoming president is able to understudy the experienced outgoing president. This will make the transition to the next presidency smoother and forestall the upheaval in higher education presidency due to mass retirements. The good news is that, instead

of allowing the mass exodus from the presidency due to retirement to create a shortage of college presidents in the near future, boards of trustees, presidential search-firms, and higher education institutions should use the situation as an opportunity to recruit a new and diversified generation of college presidents.

Financial Implications

Fundraising and financial management posed a great challenge for college presidents in the ACE (2017) study. Virtually all the participants in this study lauded Dr. Doti's fundraising skills. He offered a few recommendations on fundraising:

Recommendations for fund raising:

- Articulate the vision for your college effectively.

- Manage institutional finance with prudence.

- Excel at your school's vision. (Do it better than everyone else.)

- Get acquainted with donors.

- Match donors with the need on campus.

Dr. Doti noted that he would not have been as successful as Chapman's president if he did not have the background in economics and accounting. He highlighted the importance of financial viability in running a college. He said that having a good vision for the school and a great relationship with constituents are not enough on their own, because the vision cannot be accomplished without financial viability. He also had a few words of advice for college presidents:

Recommendations for financial management:

- Presidents should be involved in the budget and financial operations of the university.

- Presidents who do not have a background in finances should learn it.

- Presidents should partner with the Chief Financial Officer in understanding and leading the financial operations of the university, including the budget.

- Presidents need to grow the net assets of their schools. If an institution could do well in net asset growth, then there will be enough finances to support moving towards the school's vision and investing in the resources that make the realization of the vision possible. (Doti, 2017)

Implications for policy makers. The socioeconomic consequences of not attending college are well documented (see Figure 1; Table 2; Figure 2 in Chapter 2). Obtaining a college degree is of economic advantage not only to individuals but to the nation as well. However, one of the main challenges of higher education institutions is reduced funding from the government. Forty-one percent of college presidents expect state government funding to decrease in the next five years (three years from date of research), while 28% expected federal government funding to decrease. This shifts the burden of paying for college to the parents or students. Issues of student loan repayment and paying for college have become a major hindrance to students from low-income families. Policy makers should find ways to alleviate these problems so that more students can fulfill their college and career dreams.

Implications for developing countries. The findings from this study have implications for college presidents in developing countries who face more daunting challenges as they strive to educate their citizenry at the tertiary level. The challenges facing the 21st higher education leaders in Africa and other developing countries include but are not limited to funding volatility, low enrollment, access gaps in gender and socioeconomic background, low faculty salaries and qualifications, and political instability. Furthermore, lack of research funding and equipment, limited autonomy, as well as academic disruptions due to strikes by faculty and administration,

have crippled and stagnated innovation and change in higher education institutions in developing countries (Dumbili, 2014; Famade, 2015; Havergal, 2016; Manzoor, 2018; Mba, 2017; Oliver, 2004; Sanchez & Singh, 2018). Bass (1985) noted that "transformational leadership is more likely to emerge in times of stress and disorganization, and in organizations more open to growth and change" (p. xiv). The challenges confronting 21st century higher education in developing countries present the ideal situation for the emergence of transformational college presidents. The findings from this study sound a clarion call for such presidents to rise to the occasion.

Delimitations and Limitations

Delimitations are the purposeful decisions the researcher made to define the boundaries of the study. This qualitative study was conducted using the single instrumental case study design. The single instrumental case study design is the most appropriate for this study because Dr. Doti's transformational leadership presented an unusual phenomenon in higher education presidency related to the length of his tenure and the remarkable transformation of Chapman University. The other participants were chosen based on their membership as part of the transformational leadership team; they were required to have worked with Dr. Doti for eight to 10 years. The researcher only studied Dr. Doti's transformational leadership practices based on the change that occurred in the Chapman University system during his tenure (Burns, 1978). Dr. Doti's transactional leadership and other leadership styles were not considered in this study.

There were limitations in this study that were beyond the control of the researcher. The researcher could not perform direct observation on Dr. Doti because he is president emeritus and not the current president of Chapman University. The researcher watched nine archival videos of Dr. Doti's "State of the University" addresses in lieu of direct observations. Chapman University, the site of the research, is a mid-sized private college which may not totally reflect

the situation in public colleges or private colleges with smaller, mid-sized, or larger populations. However, the findings from the study reflected the challenges from all types of colleges. Another limitation in the study is in reporting the case; Dr. Doti articulated his vison through data with graphs, charts, and figures. However, since this study is qualitative, all the figures could not be added to the results in Chapter Four. All figures, tables, and charts can be found in the appendices.

Recommendations for Future Research

Based on the findings from this study and the limitations and delimitations placed on the research, more work needs to be done on transformational leadership practices of presidents of other types of colleges including public colleges, private mid-sized colleges, historically Black colleges and universities, community colleges and liberal arts colleges, using other qualitative designs such as multiple case studies, especially in smaller colleges such as liberal arts schools or community colleges. Phenomenological studies of several college presidents may detail the collective experiences of transformational presidents and further illuminate the reasons for their rarity in higher education presidency. There is need for more qualitative studies to determine other reasons for the short tenure of presidents that may not be age-related. Since Dr. Doti's presidency was data-driven, there is need for a quantitative study which will assess how he utilized institutional research to make decisions for his strategic plans, college finances, and budgetary issues.

Summary

This single instrumental case study explored the transformational leadership practices of Dr. James L. Doti, the president emeritus of Chapman University, Orange County, California. This case was chosen for its uniqueness and the multiple lessons that current and aspiring college

presidents may learn from Dr. Doti's transformational leadership practices. The findings from this study yielded many lessons for higher education presidents in the nation. Armed with a compelling vision, winsome personality, active fundraising, wise financial management, and a competent leadership team, Dr. Doti led the transformation of Chapman from a sleepy liberal arts college in southern California to a mid-sized university of national stature.

The findings from this study provided many lessons for higher education presidency. Transformation requires time and change; however, higher education presidency does not have that at this time because the average tenure for presidents is 6.5 years. Outgoing presidents need to design a succession plan that will ensure a smooth transition. The literature also highlighted financial struggles and fundraising as the greatest challenge of college presidents, and the findings from this study provided lessons for that. Current and aspiring college presidents need to acquire skills in financial management so that they can be fully involved in planning the finances of their colleges.

Less than 20% of current presidents in the ACE (2017) report said that strategic planning was important for the future of their colleges, and only 12% utilized institutional research to inform decision making. This could be the most important lesson from the findings in this study. Laser-focused and data-driven strategic plans for several years were the secret to the ultimate transformation of Chapman University. Without this kind of laser-focused strategic planning and data-informed decision making, college presidents run the risk of jumping from one issue to another without ever addressing the long term (Seltzer, 2017b). While financial challenges and the imminent change of guard in higher education presidency appeared to be the greater issues in the ACE (2017) report, the silent reason for rarity of transformational leadership in higher education presidency may be that more than 80% of presidents do not consider strategic planning

to be important, and 88% of current presidents make decisions that are not based on institutional research.

Finally, I close with words of Charles C. Chapman, the founding father of Chapman University. His bronze statue sits majestically atop a well-manicured bed of flowers at the Schmid Gate entrance to Chapman University. The wall behind the statue has excerpts from his letter to his 8-year old grandson boldly inscribed in beautiful cursive:

> I can liken life before you to that of a ship with its prow pointed towards the great ocean as it leaves the harbor for the distant shore. Storms may come, and they will, for no ship ever faced the seas but had to face the storm. If it is strong from keel to top, from bow to stern, well maintained and intelligently directed, it rides the storm and goes on its way.

Prior to Dr. Doti's presidency, the Chapman College ship had indeed faced severe storms, but with intelligent direction, Chapman University successfully rode the storm and is well on its way. . . to a greater future.

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APPENDICES

APPENDIX A

Permission to Publish American Council on Education Work (Table 1)

Macdonald, Lindsay <LMacdonald@ACENET.EDU>
 on behalf of
Pubs <Pubs@ACENET.EDU>

Yesterday, 9:53 AM
Kassim, Adejoke

Hi Adejoke,

Thanks for your interest in using Table 26 from *American College President Study 2017*. We are happy to grant permission for this one-time usage. Please include the following line on all copies: "© 2017, American Council on Education."

All best,
Lindsay

Lindsay Macdonald
Publishing Associate
Publishing
American Council on Education
One Dupont Circle NW
Washington, DC 20036
Phone: (202) 939-9452
lmacdonald@acenet.edu
[www.acenet.edu]www.acenet.edu

APPENDIX B

Permission to Publish Georgetown University Work (Figures 1 and 2, Table 2)

Georgetown CEW <cewgeorgetown@georgetown.edu>

Fri 4/13, 2:17 AM
Kassim, Adejoke

Hello,

Thank you for your continued support to the center's work. Your request to use our material has been approved. Our preference to cite our work is as follows:

Source: Georgetown University Center on Education and the Workforce, (name of publication).

We also ask that when published you send us a hard copy or an electronic link for our records.

Thank you and let us know if you need anything else.

Best,

Vikki

APPENDIX C

Permission Request

July 2, 2018

Dr. James Doti
President Emeritus
Chapman University
One University Drive
Orange, CA 92866
doti@chapman.edu

Dear Dr. Doti:

   As a graduate student in the department of Educational Leadership, School of Education at Liberty University, I am conducting research as part of the requirements for a Doctor of Education degree (Ed.D.). The title of my research project is "The transformational leadership practices of a college president: A case study of Dr. James L. Doti." The purpose of my research is to explore how your leadership practices brought about the transformation of Chapman University.

   I am writing to request your permission to study your leadership practices during your 25-year tenure as the president of Chapman University. In order to fully understand your leadership practices, I will also need to contact members of your leadership team, and other stakeholders to invite them to participate in my research study. I am also requesting permission to access the documents and archival records of your presidency from Chapman University.

   Participants will be interviewed for 45–60 minutes each. Participants will be presented with informed consent information prior to the time research will be conducted. Taking part in this study is completely voluntary, and participants are welcome to discontinue participation at any time.

   Thank you for considering my request. If you choose to grant permission, please provide a signed statement on official letterhead indicating your approval.

Sincerely,

Adejoke Kassim
Doctoral Candidate

APPENDIX D

Recruitment Form

February 7, 2018

[Recipient]
[Title]
[Company]
[Address 1]
[Address 2]
[Address 3]

Dear [Name of Individual]:

    As a graduate student in the department of Educational Leadership, School of Education at Liberty University, I am conducting research as part of the requirements for a Doctor of Education degree (Ed.D.). The title of my research project is "The transformational leadership practices of a college president: A case study of Dr. James L. Doti." The purpose of my research is to explore the transformational leadership practices of Dr. James L. Doti in order to understand how his leadership practices brought about the transformation of Chapman University, Orange County, California. I am writing to invite you to participate in my study.

       You have been identified as a potential participant in the study given your relationship to Dr. Doti's leadership team or your Chapman University stakeholder (donor) status. If you are willing to participate in this study, I will be happy to meet with you in person to conduct a 60–90 -minute interview at a venue of your convenience. Follow-up interviews (if necessary) will be conducted via Skype or telephone conference. Your name and role at Chapman University will be requested as part of your participation. Pseudonyms will be used if desired by participants. A consent document is attached to this letter—please sign the consent document and return it to me at the time of the interview.

Sincerely,

Adejoke Kassim
Doctoral Candidate

APPENDIX E

Recruitment Form (Follow-Up)

Insert Date

Recipient
Title
Company
Address 1
Address 2
Address 3

Dear Recipient:

   As a graduate student in the department of Educational Leadership, School of Education at Liberty University. I am conducting research as part of the requirements for a Doctor of Education degree (Ed.D.). Two weeks ago, an email was sent to you inviting you to participate in a research study. This follow-up email is being sent to remind you to respond if you would like to participate and have not already done so. The deadline for participation is **Date**.

       If you choose to participate, I will be happy to meet with you in person to conduct a 60–90 minute interview at a venue of your convenience. Interviews will be audio recorded. Your name and role in Dr. Doti's leadership team will be requested as part of your participation, but the information will remain confidential.

To participate, please, email me at akassim@liberty.edu to indicate your consent.

A consent document is provided as an attachment to this letter. The informed consent document contains additional information about my research, please sign the informed consent document and return it to me at the time of the interview.

Sincerely,

Adejoke Kassim
Doctoral Candidate

APPENDIX F

CONSENT FORM

The Transformational Leadership Practices of a College President:

A Case Study of Dr. James L. Doti

Adejoke Kassim

Liberty University

Department of Educational Leadership, School of Education

You are invited to participate in a research study on the transformational leadership practices of Dr. James Doti, president emeritus of Chapman University. Dr. Doti was a transformational college president who led the transformation of Chapman college into Chapman University. You were selected as a possible participant because of your role in Dr. Doti's leadership team during his presidency at Chapman University. Participants must have worked with Dr. Doti during the transformation of Chapman University for eight to 10 years or more. Please read this form and ask any questions you may have before agreeing to be in the study.

Adejoke Kassim, a doctoral candidate in the department of Educational Leadership, School of Education at Liberty University, is conducting this study.

Background Information: The purpose of this study is to explore the transformational leadership practices of Dr. James L. Doti, that brought about the significant growth and change that occurred at Chapman University. The findings from the study may serve as a model and inspiration for boards of trustees, current and aspiring college presidents, and educational leaders in general.

Procedures: If you agree to be in this study, I would ask you to do the following things:
1. You will be interviewed once by the researcher for a duration of 45–60 minutes at a location of your convenience. The interview will be tape recorded for transcription.
2. If necessary, I may require a follow-up interview for further inquiry. The follow-up interview will be for 30 minutes or less and will be conducted via Skype or telephone conference. The second interview will also be recorded.

Risks: The risks involved in this study are minimal, which means they are equal to the risks you would encounter in everyday life.

Benefits:

This study may have implications for boards of trustees, aspiring higher education institution presidents and leaders, higher education leaders in the developing countries, higher education faculty and staff, students, alumni, and higher education community and stakeholders.

Compensation: Participants will not be compensated for participating in this study.

Confidentiality: The records of this study will be kept private. Research records will be stored securely, and only the researcher will have access to the records. I may share the data I collect from you for use in future research studies or with other researchers; if I share the data that I collect about you, I will remove any information that could identify you, if applicable, before I share the data. For this case study, Dr. Doti's real name will be used, and Chapman University is the real name of the college. Other participants will be identified by the role they played on Dr. Doti's leadership team. Pseudonyms will be used if desired by participants.

- Dr. James L. Doti is the real name of the transformational leader and Chapman University is the real name of the college. Other participants will be identified by their role on Dr. Doti's leadership team.
- Data will be stored on a password locked computer and may be used in future presentations. After three years, all electronic records will be deleted.
- Interviews will be recorded and transcribed. Recordings will be stored on a password locked computer for three years and then erased. Only the researcher will have access to these recordings.
- Participants will be identified by their role on Dr. Doti's team, and may choose to use their real names instead of pseudonyms.

Voluntary Nature of the Study: Participation in this study is voluntary. Your decision whether or not to participate will not affect your current or future relations with Liberty University or Chapman University. If you decide to participate, you are free to not answer any question or withdraw at any time without affecting those relationships.

How to Withdraw from the Study:

If you choose to withdraw from the study, please contact the researcher at the email address/phone number included in the next paragraph. Should you choose to withdraw, data collected from you will be destroyed immediately and will not be included in this study.

Contacts and Questions: The researcher conducting this study is Adejoke Kassim. You may ask any questions you have now. If you have questions later, **you are encouraged** to contact her at akassim@liberty.edu. You may also contact the researcher's faculty chair, Dr. James L. Zabloski, at jlzabloski@liberty.edu.

If you have any questions or concerns regarding this study and would like to talk to someone other than the researcher, **you are encouraged** to contact the Institutional Review Board, 1971 University Blvd., Green Hall Ste. 1887, Lynchburg, VA 24515 or email at irb@liberty.edu.

Please notify the researcher if you would like a copy of this information for your records.

Statement of Consent: I have read and understood the above information. I have asked questions and have received answers. I consent to participate in the study.

(NOTE: DO NOT AGREE TO PARTICIPATE UNLESS IRB APPROVAL INFORMATION WITH CURRENT DATES HAS BEEN ADDED TO THIS DOCUMENT.)

☐ The researcher has my permission to [audio-record] me as part of my participation in this study.

_____

Signature of Participant   Date

_____

Signature of Investigator

APPENDIX G

Researcher's Reflections on Dr. Doti

After the first interview with Dr. Doti, I wrote the following in my reflective log:

- Dr. Doti was sincere. He shared freely about his shortcomings and weaknesses as a transformational president—I didn't expect that.

- He had obviously explained the process of the transformation of Chapman several times, so his answers came readily.

- The most important aspect for him was the vision and fundraising for it.

- He said his most notable achievement was the student selectivity which moved from 92nd in *U.S. World & News Report* ranking to either the 2nd or 3rd place among midsized universities in the West.

- These words that he spoke at the end of the interview caught my attention. He said he couldn't have done it alone: "I was only one leader among many."

- He talked a lot about his mentors and how they shaped his leadership style: (a)Buck Smith—fundraising and people skills, (b) George Argyros—leadership skills, (c) Paul Delp—respect and dignity, and many others.

- Even in his retirement and at 72 years old, his vision for Chapman's future continues to get brighter. He hopes to help fundraise for a future college of medicine for Chapman University. That also gave me something to think about.

APPENDIX H

Interview Protocol

Standardized Open-Ended Interview Questions for Dr. Doti (2 sessions)

1. How did you become the president of Chapman University?

2. Why were you selected for this position?

3. Why did you want the position?

4. How did you prepare for this position?

5. How did your leadership capacities evolve during your tenure as president?

6. How is your leadership most apparent at Chapman University?

7. What do you consider to be the impact of your leadership on staff and faculty at Chapman?

8. During your 25-year tenure, Chapman experienced great transformation. Could you tell me about the process of change?

9. Can you please explain the situation of the college when you became president?

10. What was your vision for Chapman University?

11. How did you cast the vision for your followers (trustees, faculty, and other stakeholders)?

12. How did you secure the buy-in into the vision?

13. What challenges/obstacles did you encounter in your bid to transform the college?

14. How did you overcome the challenges/obstacles?

15. How do you foster leadership in others?

16. What is your strategy for recruitment and succession?

17. What advice do you have for aspiring college presidents?

18. How is your leadership most apparent in the community?

19. What major stakeholders do you mobilize to support your vision for Chapman?

20. Can you tell me about the community of donors that support Chapman University?

21. How did you motivate them to give such large donations?

22. What do you consider to be the greatest success of your presidency?

23. What was your greatest disappointment and how did you overcome the situation?

24. How would you like to be remembered by the Chapman community?

25. What else do you think will be important for me to know about your presidency?

Standardized Open-Ended Interview Questions for Trustees, Staff, and Faculty

1. How long have you known Dr. Doti? Can you please describe your relationship with him?

2. What was your position on Dr. Doti's leadership team?

3. What is your current position at Chapman University?

4. How would you describe Dr. Doti's leadership approach and style?

5. How would you describe your leadership approach and style?

6. How has Dr. Doti's leadership style shaped yours?

7. How did Dr. Doti's mentorship prepare you for your current position?

8. How did Dr. Doti communicate his vision for Chapman University?

9. Did you buy into the vision? Please explain.

10. How would you describe Chapman University then and now? (Please back up to the time you joined the institution.)

11. What was your role in the transformation process?

12. What was your most rewarding experience as a member of Dr. Doti's team?

13. Please share other thoughts or anecdotes about Dr. Doti that you think would benefit other college presidents.

Standardized Open-Ended Interview Questions for the Community of Donors

1. How long have you known Dr. Doti? Can you briefly describe your relationship with him?

2. How would you describe Dr. Doti's leadership style?

3. Did you understand Dr. Doti's vision for Chapman University?

4. What aspect of the vision was most compelling for you?

5. How has Dr. Doti's leadership impacted you and the community at large?

6. How would you describe Chapman University then and now? (back up to the time you became acquainted with the institution)

7. How would you describe the transformation that occurred?

8. What was your role in the transformation process?

9. What part of the transformation do you appreciate the most?

10. Please share other thoughts or anecdotes about Dr. Doti that you think would benefit other college presidents.

APPENDIX I

Observation Protocol for Archival Videos of Dr. Doti's "State of the University" Address

Observer: Adejoke Kassim

Date:

Contents of State of the University Address	Observation
Year and Timeline of Speech	
Summary of Speech	
Idealized Influence	
Inspirational Motivation	
Intellectual Stimulation	
Individual Consideration	
Relevant Quotes	

APPENDIX J

IRB APPROVAL

IRB, IRB
Mon 8/13/2018, 2:48 AM
Kassim, Adejoke
+3 others

IRB **Approval 3413.081318: The Transformational Leadership Practices of a College President: A Case Study of Dr. James L. Doti**

Dear Adejoke Kassim,

We are pleased to inform you that your study has been approved by the Liberty University IRB. This approval is extended to you for one year from the date provided above with your protocol number. If data collection proceeds past one year or if you make changes in the methodology as it pertains to human subjects, you must submit an appropriate update form to the IRB. The forms for these cases are attached to your approval email.

Your study falls under the expedited review category (45 CFR 46.110), which is applicable to specific, minimal risk studies and minor changes to approved studies for the following reason(s):

6. Collection of data from voice, video, digital, or image recordings made for research purposes.

Please retain this letter for your records. Also, if you are conducting research as part of the requirements for a master's thesis or doctoral dissertation, this approval letter should be included as an appendix to your completed thesis or dissertation.

Your IRB-approved, stamped consent forms are also attached. These forms should be copied and used to gain the consent of your research participants. If you plan to provide your consent information electronically, the contents of the attached consent documents should be made available without alteration.

Thank you for your cooperation with the IRB, and we wish you well with your research project.
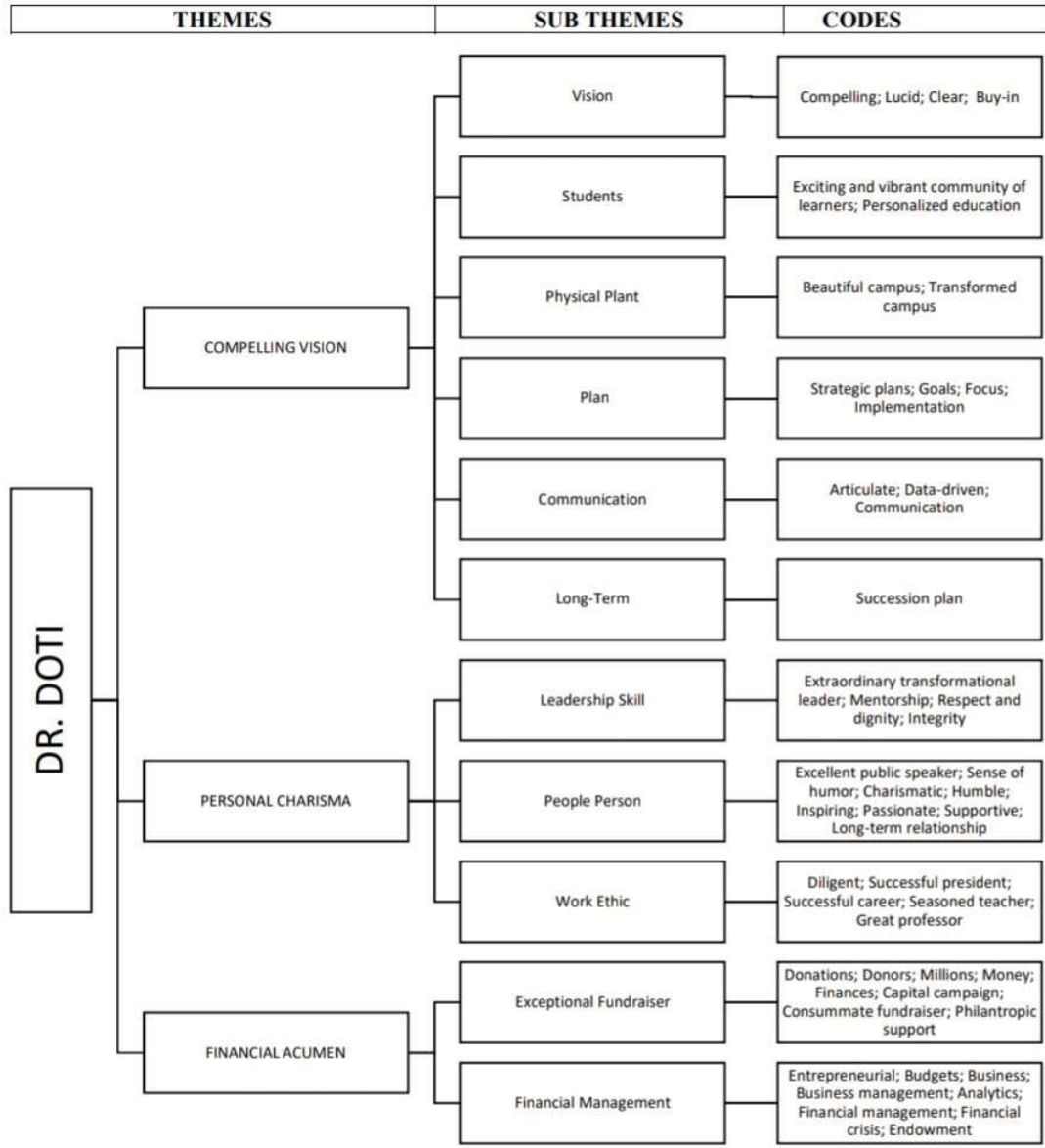
Sincerely,

G. Michele Baker, MA, CIP
Administrative Chair of Institutional Research
The Graduate School

LIBERTY
U N I V E R S I T Y.

Liberty University | Training Champions for Christ since 1971

APPENDIX K

CODING FRAMEWORK

THEMES	SUB THEMES	CODES
	Vision	Compelling; Lucid; Clear; Buy-in
	Students	Exciting and vibrant community of learners; Personalized education
	Physical Plant	Beautiful campus; Transformed campus
COMPELLING VISION	Plan	Strategic plans; Goals; Focus; Implementation
	Communication	Articulate; Data-driven; Communication
	Long-Term	Succession plan
	Leadership Skill	Extraordinary transformational leader; Mentorship; Respect and dignity; Integrity
PERSONAL CHARISMA	People Person	Excellent public speaker; Sense of humor; Charismatic; Humble; Inspiring; Passionate; Supportive; Long-term relationship
	Work Ethic	Diligent; Successful president; Successful career; Seasoned teacher; Great professor
FINANCIAL ACUMEN	Exceptional Fundraiser	Donations; Donors; Millions; Money; Finances; Capital campaign; Consummate fundraiser; Philantropic support
	Financial Management	Entrepreneurial; Budgets; Business; Business management; Analytics; Financial management; Financial crisis; Endowment

DR. DOTI

APPENDIX L

Permission to Publish Chapman University Data

andmeyer@chapman.edu
Fri 4/12/2019 7:30 AM

• Kassim, Adejoke

⬚
Dear Dr. Kassim,
This email confirms the written letter we previously provided to you (the "Letter"), signed by Harold W. Hewitt, Jr., the Executive Vice President and Chief Operating Officer of Chapman University ("Chapman"). The Letter (and by reference, this email) grants you permission to incorporate into and append the charts attached to the Letter as Exhibit A (the "Content") and set forth in your dissertation titled "The Transformational Leadership Practices of a College President; A Case Study of Dr. James L. Doti," as Appendices M-W, to be published by Liberty University and listed on the Liberty University Digital Commons (the "Publication"). By incorporating the Content into the Publication, you agree that, as between you and Chapman, Chapman owns the copyright to the Content, and you agree you shall not claim any proprietary rights or interests in or to the Content. You further acknowledge and agree that Chapman provides the Content "as is" and makes no warranty, express or implied, statutory or otherwise, that the Content is free from infringement of any copyrights or other rights of third parties, or as to Chapman's copyright ownership rights, title or interest in and to the Content, or as to the Content's description, accuracy, quality, merchantability, completeness, or fitness for any particular purpose or use, or as to any other warranties, which are hereby excluded and disclaimed.

We hope the documents reinforce the results of your case study on the transformational leadership practices of Dr. James L. Doti.
Thank you and let us know if you need anything else.

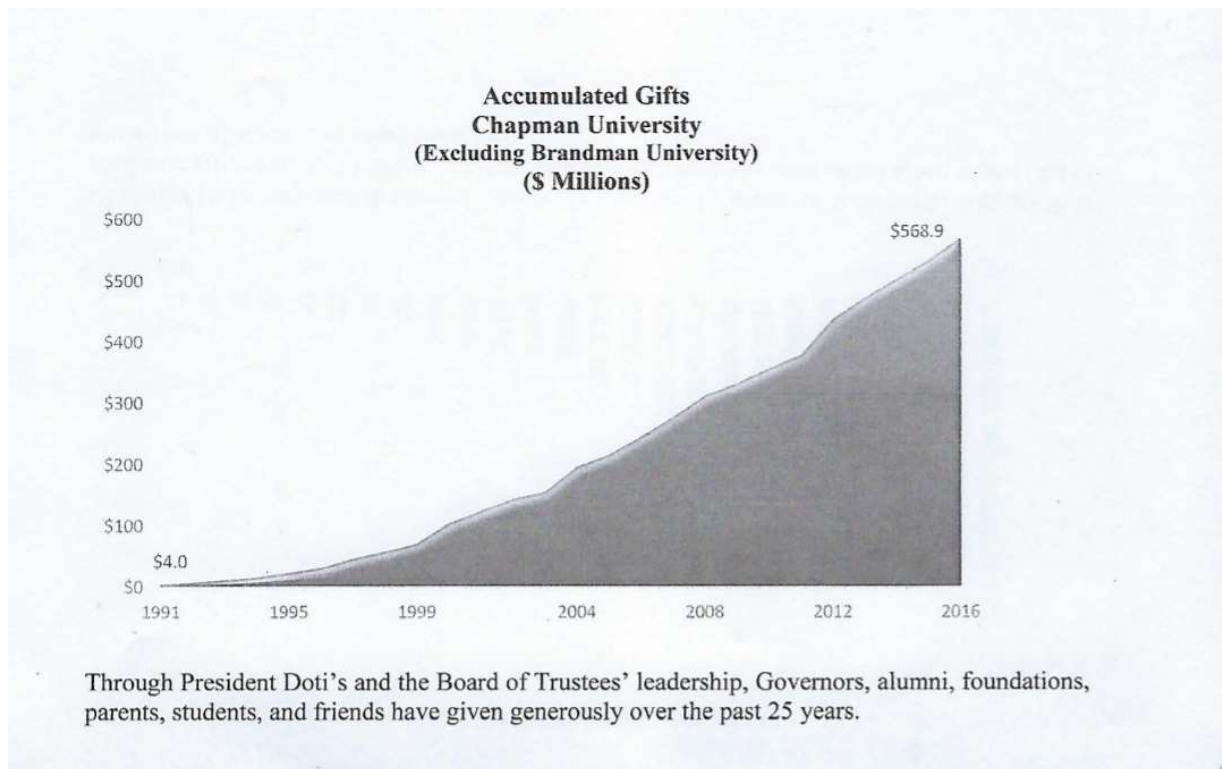**Andreas J. Meyer**
Associate General Counsel
Office of Legal Affairs
Chapman University
One University Drive, Orange, CA 92866
(714) 997-6533
Chapman.edu

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APPENDIX M

Accumulated Gifts to Chapman University

Accumulated Gifts
Chapman University
(Excluding Brandman University)
($ Millions)

Through President Doti's and the Board of Trustees' leadership, Governors, alumni, foundations, parents, students, and friends have given generously over the past 25 years.

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APPENDIX N

Endowment Growth for Chapman University

Endowment Market Value
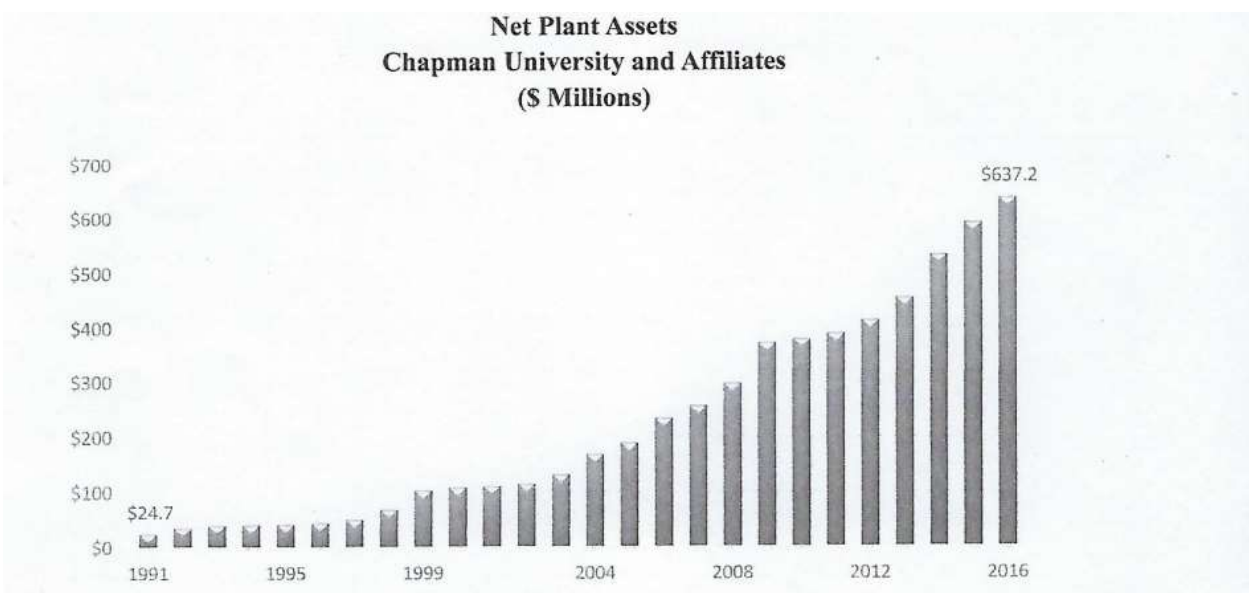Chapman University
(Excluding Brandman University)
($ Millions)
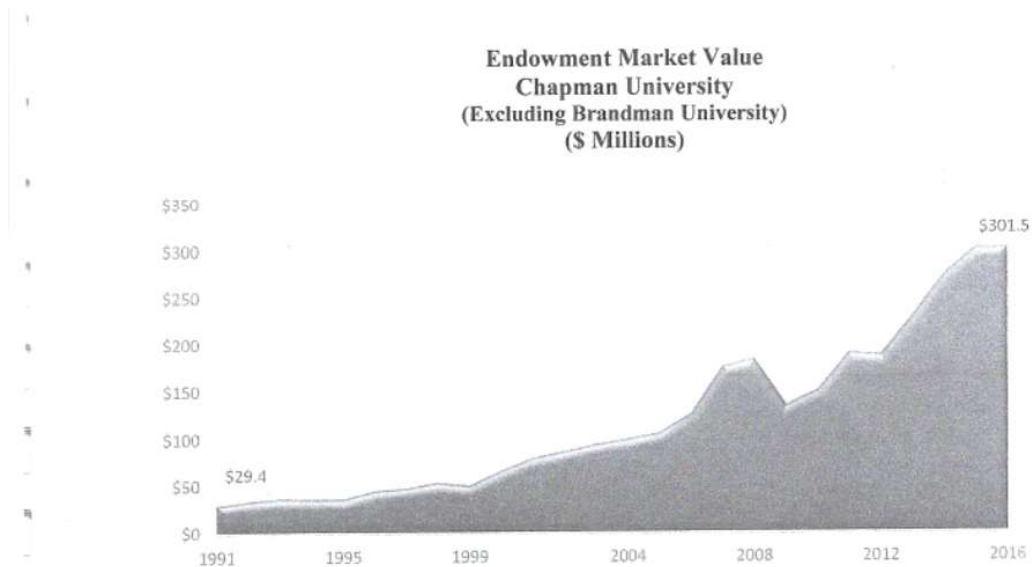
Starting with an endowment market value of $29.4 million in 1991, over 25 years Chapman's endowment, as of the end of 2015-16, has grown to $301.5 million, of which $143.4 million is quasi-endowment.

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APPENDIX O

Net Plant Assets for Chapman University

Net Plant Assets
Chapman University and Affiliates
($ Millions)
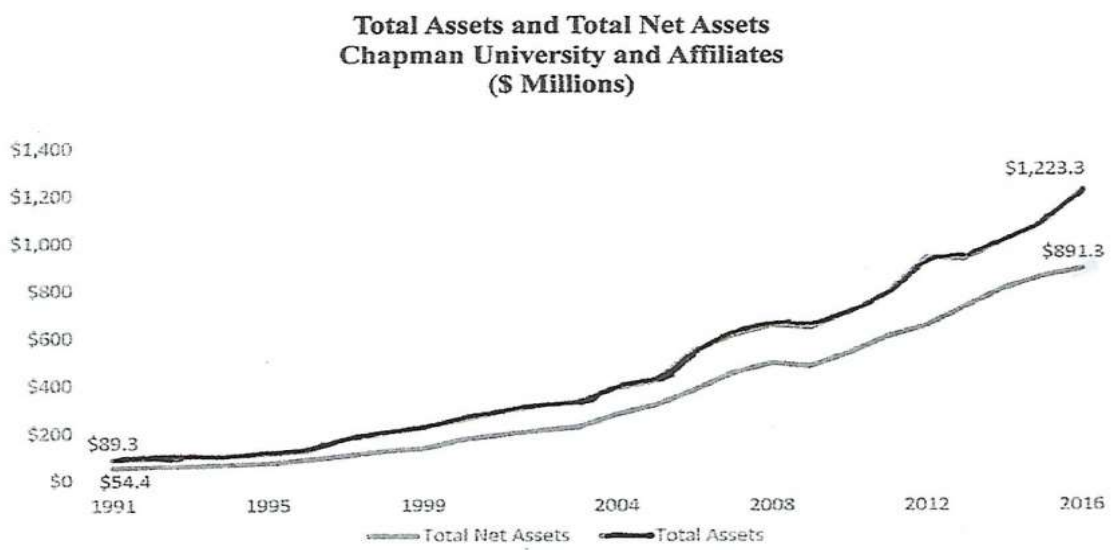

Chapman University and Brandman University continue to invest in facilities to support their academic programs. 3,113,095 square feet of academic space has been added along with 112,449 square feet of residential space since 1991.

4

APPENDIX P

Net Asset Growth

Total Assets and Total Net Assets
Chapman University and Affiliates
($ Millions)

As illustrated above, Net Assets have continued to grow from 1991 to 2016, showing the overall strength and stability of Chapman University and Affiliates, including Brandman University. Total assets increased over the twenty-five-year period beginning in fiscal year 1991 with $89.3 million to $1.2 billion in 2016.

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APPENDIX Q

Enrollment Growth

CHAPMAN UNIVERSITY ENROLLMENT																									
																2006 on including international									
Freshmen only	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Applied	769	689	817	904	1117	1086	1217	1459	2028	2311	2194	2349	2648	3018	3357	3802	4263	4854	5352	6157	8052	9608	10489	11750	12507	13670
Admitted	369	573	674	738	861	801	931	1135	1185	1376	1384	1645	1571	1863	1941	1996	2247	2399	2680	3467	3995	4311	4572	5253	5883	6504

Enrollment Excluding Pharmacy	256	262	287	345	385	357	390	543	519	574	647	768	724	840	851	863	956	936	965	1031	1174	1271	1278	1289	1422	1426
Pharmacy	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

APPENDIX R

Overall Ranking of Chapman University – President Doti Years
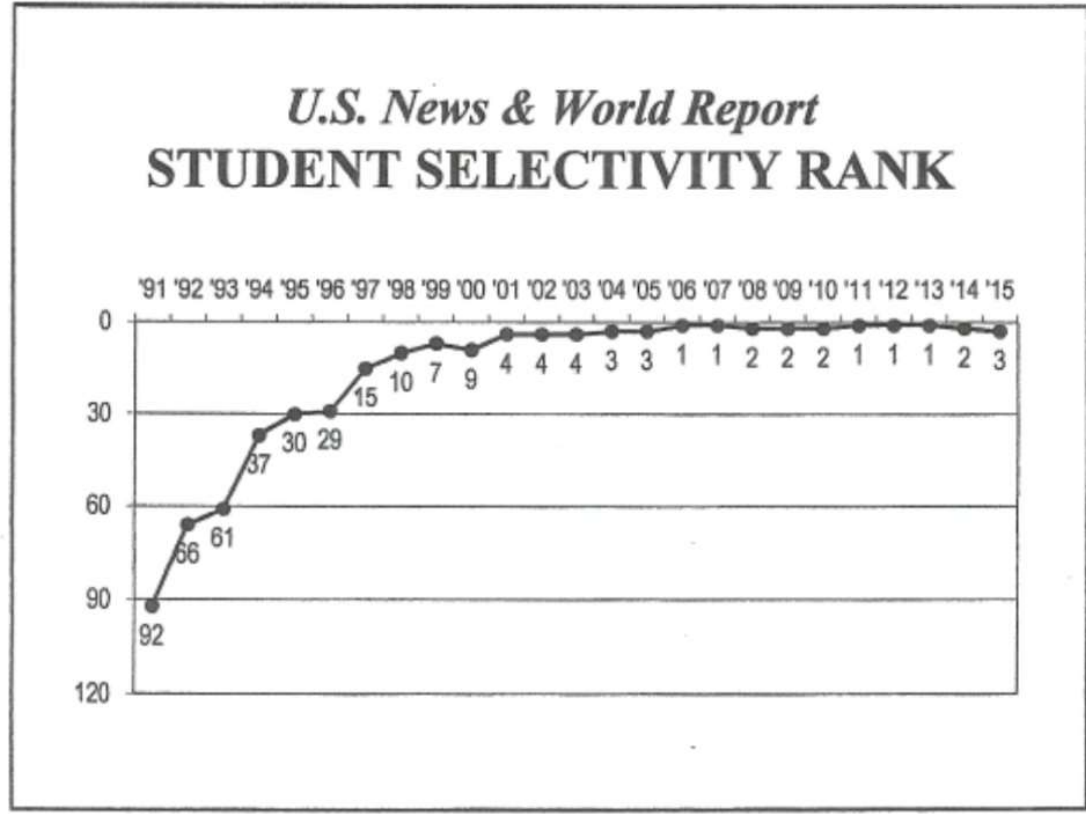
This chart was created by Chapman University. It traces the university's overall ranking as listed in *U.S. News & World Report* from 1991–2015. Used with permission (see Appendix L).

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APPENDIX S

Student Selectivity Rank of Chapman University – President Doti Years

This chart was created by Chapman University. It traces the university's student selectivity ranking as listed in *U.S. News & World Report* from 1991–2015. Used with permission (see Appendix L).
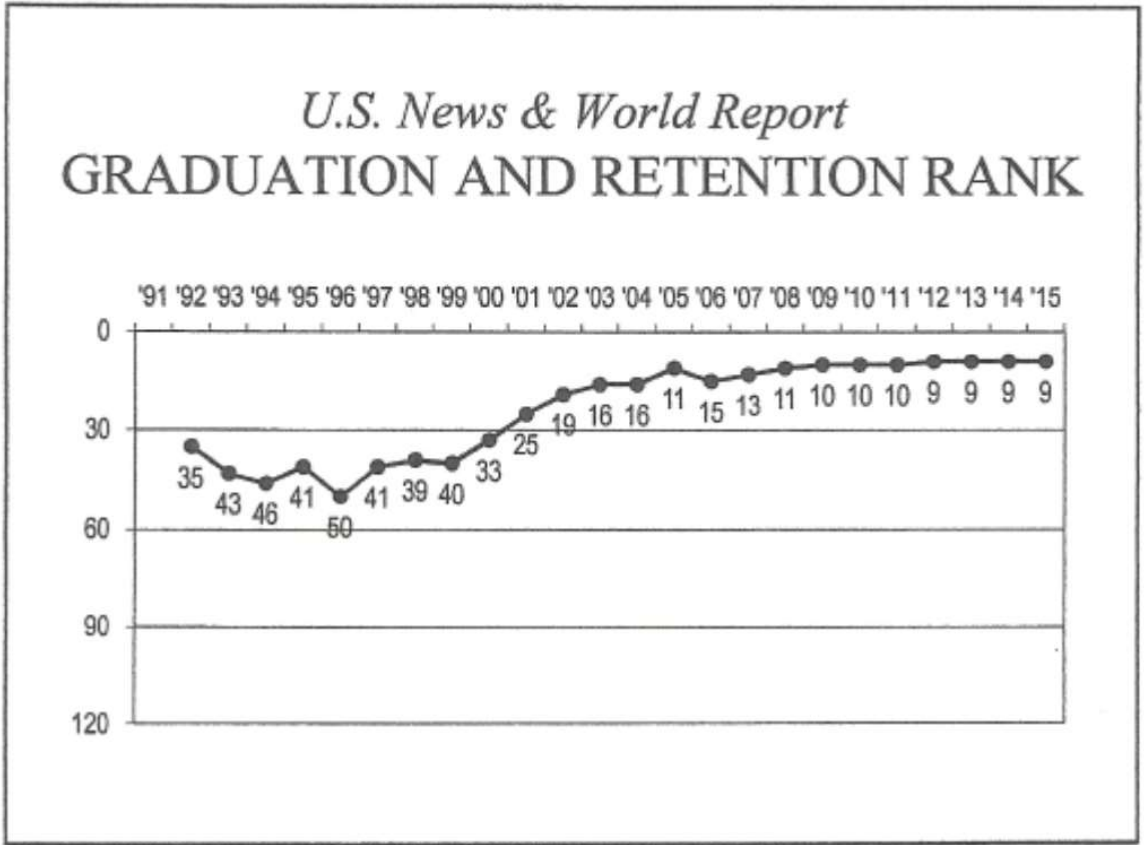

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APPENDIX T

**Overall Graduation and Retention Rank of Chapman University – President Doti Years**

This chart was created by Chapman University. It traces the university's graduation and retention ranking as listed in *U.S. News & World Report* from 1991–2015. Used with permission (see Appendix L).

U.S. News & World Report
GRADUATION AND RETENTION RANK

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APPENDIX U

Overall Undergraduate Academic Reputation of Chapman University –

President Doti Years

This chart was created by Chapman University. It traces the university's undergraduate academic reputation ranking as listed in *U.S. News & World Report* from 1991–2015. Used with permission (see Appendix L).

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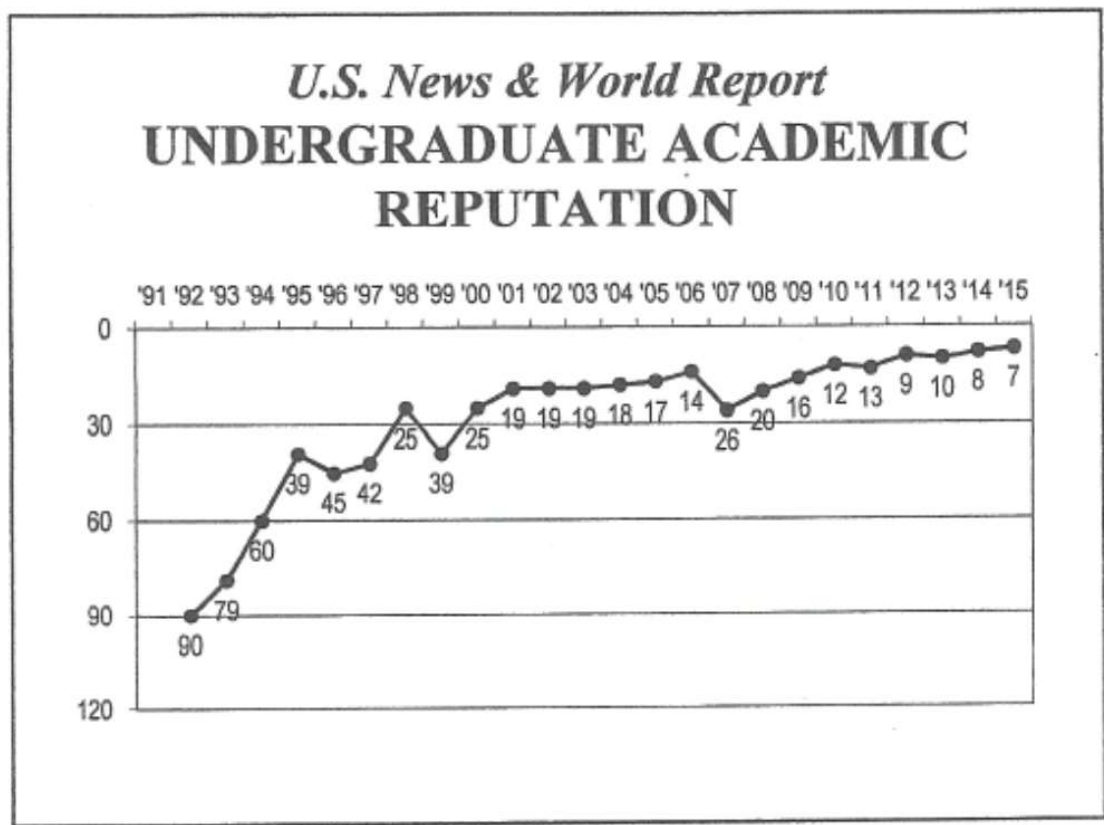
APPENDIX V

Orange Campus – Pre-President Doti Years

APPENDIX W

Orange Campus – President Doti Years

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